CATALOGING RULES AND PRINCIPLES

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Cataloging Rules and Principles

A CRITIQUE OF THE A. L. A. RULES FOR ENTRY AND A PROPOSED DESIGN FOR THEIR REVISION

Prepared for the Board on Cataloging Policy and Research of the A. L. A. Division of Cataloging and Classification

by

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Washington : 1953

L. C. Card 53-60029

Contents

	Page
Foreword	v
Preface	vii
Introduction	ix
I. Is This Rule Necessary?	1
II. The Corporate Complex	16
III. Design for a Code	36
IV. Q's & A's	56

Foreword

TEN years ago the writer of the following report was engaged by the Library of Congress to make a study of the rules for descriptive cataloging, which at that time were being subjected to considerable criticism, and to formulate the objectives and principles upon which a revision of the rules should be based. His work was subsequently embodied in a report of Herman H. Henkle, then director of the Processing Department, entitled *Studies of Descriptive Cataloging* (1946), and eventually led to the revision of these rules.

The Library is now pleased to present this study of our rules of entry prepared at the request of the Board on Cataloging Policy and Research of the Division of Cataloging and Classification of the American Library Association. In so doing, the Library signalizes a continuation of the profession-wide cooperation in the effort to improve cataloging rules and the bibliographical instruments shaped by them.

LUTHER H. EVANS
Librarian of Congress

WASHINGTON, D. C.
March 1953

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Preface

WHEN the A. L. A. Division of Cataloging and Classification organized its Board on Cataloging Policy and Research, it was pointed out that this body would concern itself with isolating and stimulating studies in the fields of its interest. It soon became apparent as the Board proceeded to outline the problems awaiting research that there was considerable interest in the question of corporate entries. Discussion in library literature emphasized this interest. Observations made when the second edition of the *A. L. A. Cataloging Rules for Author and Title Entries* was published indicated that in any revision serious consideration should be given to an analysis of the purpose and function of the rules for cataloging publications by corporate bodies. The Board pushed this matter as a problem for early investigation.

The Division of Cataloging and Classification has been most fortunate in the support that has been given the study by the administration of the Library of Congress. Luther H. Evans, Librarian of Congress, recognized it as a problem that had national significance, and approved the assignment of Seymour Lubetzky, Consultant on Bibliographic and Cataloging Policy, to give it detailed examination. Mr. Lubetzky's early review of the problem revealed that the study would need to analyze the A. L. A. rules in general, as well as those for the cataloging of publications of corporate bodies. Moreover, an effort would have to be made to single out the objectives and principles which must underlie a revision of the rules. The first draft of Mr. Lubetzky's report was issued in May 1952, and was studied by members of the Library of Congress staff, members of the Board on Cataloging Policy and Research, a group of eight consultants selected from the library profession, and a group of practicing catalogers and administrators. Many observations made on this first draft were incorporated into the second writing by Mr. Lubetzky. The second draft appeared in March 1953, and was distributed to about 45 persons in the field, in addition to various in-

dividual members of the Library of Congress staff. The response to the Board's request that criticisms and other suggestions be made to Mr. Lubetzky was gratifying. In this third draft, which is being distributed widely to the profession in this country and abroad, Mr. Lubetzky has prepared a penetrating analysis which deserves the closest attention of all concerned with the important problem of recording materials in libraries. It is expected that there will be animated discussion of the observations and conclusions of Mr. Lubetzky, and that out of this discussion there will be developed a code of rules which will reflect changes required by modern library practice.

The Division of Cataloging and Classification of the American Library Association, through its Board on Cataloging Policy and Research, expresses its deep gratitude to the Librarian of Congress for supporting this activity and to Mr. Lubetzky for his preparation of a document which represents a milestone in our thinking of cataloging rules and principles.

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M. Ruth MacDonald
Gertrude Oellrich
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March 1953

[1] Replaced Frederick H. Wagman, November 25, 1952

Introduction

THE present study was undertaken pursuant to an assignment by the Library of Congress. The author was directed to prepare, for the Board on Cataloging Policy and Research of the A. L. A. Division of Cataloging and Classification, a general analysis of the A. L. A. cataloging rules for author and title entry, with special consideration of the rules for corporate authors, and a discussion of the objectives and principles which should underlie a revision of the rules. The first three parts of the report are directed, respectively, to the three aspects of this assignment. The fourth part of the report was added to deal with general questions raised by readers of a preliminary draft of this report.

It is well to emphasize at the outset that the objective of this study was to point out the weaknesses of our cataloging code and to indicate how our rules could be improved—that is, to clear the ground and lay the foundation for a revision of the rules, *not* to effect such revision. That is another problem which could not be solved before an agreement has been reached on the basic objectives and principles discussed in this report. It is also proper to make clear at this point that the opinions expressed in this report are those of the writer and that they do not necessarily reflect the views of the Library of Congress or the Board on Cataloging Policy and Research.

This was a most welcome assignment, and the author is indebted to the Library of Congress for the opportunity afforded him to make this study and to the members and consultants of the Board on Cataloging Policy and Research for their wise counsel and helpful guidance. May this result contribute to a better understanding of the problem and to an ultimate revision of the code which will make our rules more rational and purposeful and cataloging a more imaginative and creative pursuit.

I

Is This Rule Necessary?

WHOEVER embarks on a study of the development of our cataloging rules, from their spectacular trial before a royal commission and their brilliant defense by Panizzi in 1849[1] to the appearance of the *A. L. A. Cataloging Rules for Author and Title Entries* in 1949, a round century later, cannot fail to be impressed with the broad knowledge, keen thinking, and fruitful imagination which the founders of the rules have brought to the profession of cataloging. At the same time, one could hardly view with equanimity the continuous proliferation of the rules, their growing complexity, and the obscurement of the objectives and design of the code as a whole. One is impelled to ask: Are all these rules necessary? Are all the complexities inevitable? Is there an underlying design which gives our code unity and purpose?

One way to answer these questions and evaluate the structure of our code is to examine the rules one by one and inquire: Is this rule necessary? Is it properly related to the other rules in the code? Is it consistent in purpose and principle with the other rules? Such a task may exact some patience, but will prove illuminating and rewarding. Not every rule will here be considered, but enough will be scrutinized to reveal the structural deficiencies of our code—that many of our rules are unnecessary, or are not properly related to the other rules in the code, or are inconsistent with the other rules—and to show that a reconstruction of the code, even without altering its basic provisions and character, would go far to remedy the unwholesome growth and complexity of our rules. Later, in the second part of the report, it will be shown that some of the principles upon which our rules rest are also in need of revision.

[1] *Report of the Commissioners Appointed to Inquire Into the Constitution and Government of the British Museum.* London, 1850.

Let us then turn to our *A. L. A. Cataloging Rules for Author and Title Entries,* Second Edition, Chicago, 1949, and start at the very beginning. Rule 1 is announced as a "General rule," presumably not limited to any particular type of work; actually, as it is worded, this rule is no more "general" than the next rule, but is limited to works by one author. It says, "Enter a work under the name of its author whether personal or corporate"; obviously this excludes all works whose authors are not known and also all works having more than one author. Under the circumstances, it would have been more accurate to label this rule "Works by one author" than "General rule." But if rule 1 is limited to works by one author, what is its relation to rule 2 entitled "Individual author, Works by"? In context with rule 3, which deals with "Joint authors," the title "Individual author" would seem to mean *one author*; but since rule 1 deals with works by one author, one must suppose that the title is meant to limit rule 2 further to works by a *personal author,* as distinct from rule 1 which provides for one author "whether personal or corporate." This supposition is strengthened by the fact that the illustrations following the rule are all limited to personal authors; but it is not borne out by the rule itself. Rule 2 says, "Enter a work under the name of its author, when known, whether or not his name appears in the publication. Enter revisions and other modifications under the original author whenever the work remains substantially his, especially if the book purports to be an edition of the original work." Now, it will be noted that rule 2 includes rule 1, except for omission of the qualification "whether personal or corporate"; but this qualification is equally applicable and pertinent to the provisions of rule 2, which is actually a more detailed restatement of rule 1. Thus, if we added this qualification in rule 2, where it is also requisite, we could dispense with rule 1 and have one adequate rule in place of two individually deficient and mutually overlapping and ambiguous rules.

Since illustrations are used to elucidate the meaning of the rules, it may also be questioned whether the third and fifth illustrations of rule 2 serve that purpose. The third illustration shows a title with a pseudonym entered under the real name of the author. This case, and generally the entry for authors known by more than one name, is the subject of special rules in the second part of the code. Rule 2 has nothing to do with it. It says, "Enter a work under

the name of its author," but does not say under which name when the author has more than one. If rule 2 were intended to cover this case, then it should include at least a portion of rule 36, which addresses itself to this particular question. The fifth illustration shows the entry of a translation under the name of the author. This may be appropriate to the intent of rule 2, but there is no reference in this rule to translations. If they are included in "other modifications," it is an example of misapplied economy. To specify "revisions, *translations,* and other modifications" would be an improvement in the clarity of the rule at the cost of one additional word.

To return to the rules, we have rules 3A–3E, 4A(1)–4B(3), and 5A(1)–5B—sixteen rules in all—to provide for the entry of works by more than one author. These rules distinguish between a work by "joint authors," which is defined as "a work produced jointly by two or more authors in which the contribution of each is not a separate and distinct part"; a "composite work," which is defined as "an original work produced by the collaboration of two or more authors in which the contribution of each forms a separate and distinct part, although included within a planned whole"; and a "collection," which is defined as "three or more separate works or parts of works, not forming a treatise or monograph on a single subject, combined and issued together as a whole." The distinction between "works by joint authors" and "composite works" is clear, but the reason for this distinction or its relevance to the purposes of the entry is hardly apparent. Rule 3A provides for entry of a work by joint authors "under the first author mentioned on the title page" without qualification; rules 4A(1) and 4A(2) provide for entry of a composite work under "the author chiefly responsible" when there is one, otherwise "under the first-named author." But what logical reason or practical consideration is there which requires that a work by several authors should be entered under the author chiefly responsible only if it is a "composite work," but not if it is a work by "joint authors"? Rule 3B cites an example of a work by joint authors, one of whom is clearly "chiefly responsible" for the work:

> Warden, Carl John
>
> Animal motivation; experimental studies on the albino rat, by C. J. Warden . . . with the collaboration of T. N. Jenkins [and others].

In this case the author chiefly responsible is fortunately also named first on the title page and there is no question of how this work should be entered. But if the title read ". . . prepared in collaboration with T. N. Jenkins [and others] by C. J. Warden," the entry of this work would depend on whether the work consisted of separate contributions by the several authors or of one text on which the several authors collaborated. In the former case, it would be entered according to rule 4A(1) under Warden; in the latter, according to rule 3A under Jenkins. Here, then, is one of the distinctions which complicate our rules; is this distinction necessary? Does it contribute to the purposes of cataloging? Will it help either the cataloger or the reader?

The other rules under "Works by joint authors" are dubiously related to the subject. Rule 3B stipulates that in making added entries for "collaborators" in "a work of joint authorship" the cataloger should be guided by "(1) the nature of the work; (2) the number of collaborators and the importance of their contribution"; but this rule applies generally to works by more than one author and is not limited to "a work of joint authorship." In fact, rule 4A(1) for "composite works" includes a similar stipulation: "Whenever their contributions warrant, make added entry for each of the other contributors"; and rule 157A, the general rule for added entries, says "Make added entries for joint authors, collaborators, editors . . . in short, for any person or corporate body . . . that has a significant part in or responsibility for the production of the work." Rule 3C deals with a work of more than one volume, in which "the names of the joint authors do not appear in the same order on the title pages of the different volumes"; but this condition, too, is not limited to "works by joint authors." It may obviously occur also in "composite works." Nor is it limited to the order of authors' names; other elements affecting the entry, *e. g.,* the title, may appear differently on the title pages of the different volumes. Which title page is to be followed in cataloging when a work in more than one volume has varying title pages is a general question, not one peculiar to works by joint authors. It may be presumed that the rule was so designed because of the particular circumstance which gave rise to it. If so, we have here an example of one of the basic causes of the prolificity of our rules. For when we design a rule to fit a *specific case,* rather than the *condition* illustrated by it, we

create the necessity for duplicating that rule for every new case which may be encountered under different circumstances. It may have been a work by joint authors which *occasioned* the rule; what *caused* it, however, was not the fact that it was a work by joint authors, but that the elements upon which the entry is based differed on the title pages of the several volumes. The rule, therefore, should have been designed not for "Works by joint authors," but for "Works with varying title pages." The same criticism applies to rule 3D, which deals with a work by joint authors whose names do not appear in the same order on the title pages of the different editions. Rule 3E is hardly appropriate to "works by joint authors." This rule, dealing with the entry of "a narrative told by one person to another person . . . who prepared the matter for publication," is more closely related to rules 4B(2) and 4B(3) under "Composite works," which deal with the entry of an "interview" and "tabletalk," and also to rule 11 for "Mediumistic writings," which is quite removed in the code from these rules. They all involve an important but unrecognized principle requiring that the communication of a person reported by another person should be entered under the one who communicated it and not under the one who reported it. All these cases are merely illustrations of this principle. The fact that in our code mediumistic communications are treated differently from those by other persons is irrelevant in this connection. The difference reflects a prevailing attitude to mediumistic communications and would be justifiable in any code on the same grounds. The principle, however, is not thereby affected.

The distinction between "composite works" and "collections" is more nebulous. The definitions cited above are not mutually exclusive. A work containing writings by three or more authors is to be regarded as a composite work if it is "an original work produced by the collaboration" of these authors, otherwise as a collection. But this is a difficult criterion to apply, nor is it clear why it should matter for the purposes of entry. It may even be contended that the definition of "composite work" fits the collections published in honor of a person or an institution, which are cited under rule 5A(1)c as "collections." On the other hand, the second example under 4A(1), and the second and third examples under rule 4A(2), which are cited as "composite works," might be regarded as "collections" because they are actually collections of essays "not forming

a treatise or monograph" any more than those under 5A(1)c. The best that can be said in this connection is that the examples cited could be entered the same way whether regarded as "collections" or "composite works." Rule 4B(1) provides for the entry of "a debate, dialogue, conversation, under the participant whose name appears first on the title page"; but these are only additional illustrations of the composite works provided for in rule 4A(2). If it is thought that they might not readily be recognized as such, they could be specified in the rule as examples, thus: "If origin, chief interest, or responsibility is not . . . attributable to any one of the contributors (*as in debates, dialogues, conversations, etc.*), enter under the first named author . . ." This, too, would reduce the number of our cataloging rules and broaden the base under each of the rules. Rules 4B(2) and 4B(3) for the entry of interviews and tabletalk are scarcely related to "composite works" and, as already pointed out, involve a different issue and principle.

Within the rules for "collections," the distinctions determining what books are to be entered under editor with added entry for title, or under title with added entry for editor, or under publishing society with added entry for editor, or under title with added entry for publishing society, are as elusive as is their purpose. An examination of the examples under rules 3A–5B, presumably illustrating the bibliographical conditions encountered in cataloging works by several authors, suggests that they could be treated more simply, uniformly, and sensibly by following consistently the principle imbedded in our rules. That principle is that a work by several authors should be entered under the author who is more closely related to and associated with the book as a whole than are the other authors; otherwise, it should be entered under title. Thus, if it is indicated that one is the main author and the others are collaborators (as in the example cited above under Warden), the work is likely to be associated with and cited under the name of the main author and should therefore be entered under his name, with added entries for the collaborators depending on their number and the importance of their contribution. The same is true of a work prepared by an editor from the writings of other people, which should be entered under the name of the editor, because he is more closely associated with the work as a whole than any of the collaborators. In the absence of such an author or editor, the work should be entered independently

under its title, with added entries for the authors or contributors as in the previous cases. The entry of a book containing several works published together but without a common title is a different question and is well provided for in rule 5A(2).

Having considered some of the general rules of the first part of the code, let us now turn to the next part entitled "Works of Special Type," which provides rules for the cataloging of correspondence, expeditions, inscriptions, manuscripts, radio plays, etc. It is assumed here as an axiom that rules for special types of works are required only when they present special conditions not provided for elsewhere; otherwise we should have an extensive and unnecessary duplication of rules. With this in mind, let us examine the first group of rules for "Correspondence and letters."

Rule 6A provides for the entry of "correspondence between two or more persons under the first one mentioned on the title page. . . ." Having just considered the special rule 4B(1) for debates, dialogues, and conversations, one wonders why letters were not included in the same rule, or why this rule for letters is so far removed from it. This rule includes also a provision for an added entry for the editor or compiler of the letters, but this is hardly the reason for the rule. The provision for added entries is generally made in rule 157, which prescribes that added entries should be made "for joint authors, collaborators, editors, compilers. . . ." Rule 6A thus appears as an unnecessary duplication of rule 4B(1), which in turn is an unnecessary duplication of rule 4A(2), which merely parallels rule 3A prescribing "Enter under the first author mentioned on the title page a work . . . by two or more authors. . . ." Rule 6B, which states "Enter collected letters of one writer under the writer . . .," is hardly more than a specific application of the very first rule, which says generally "Enter a work under the name of its author . . ." and of rule 2, which states the same thing in greater detail. Rule 6B(1) provides that an added entry should be made for the addressee of the letter. This is a new rule; but if it is valid, it should apply not only to letters, but to all "publications addressed (not merely dedicated) to any individual whose name occurs on the title," as provided by Panizzi in his rule for anonymous publications, and should be added to rule 157 which deals with added entries. Rule 6B(2), providing for the entry of "Life and letters," should likewise not be limited to letters, but provide generally for books including works by and about

a person. It is paralleled, for example, by rule 19C providing for the entry of books including the drawings, etc., of an artist with a text by another person, and by rule 29 for the entry of works containing both text and commentary. Rule 6C, providing for the entry of a collection of letters by various writers under the editor or compiler, is a patent duplication of the first rule under "Collections," rule 5A(1). The comment made before on the special rule for debates, dialogues, and conversations applies equally to all these rules for correspondence. If special rules are needed for letters as distinct from other writings, why not also for diaries, notes, reminiscences, reflections, addresses, essays, lectures, and the other forms of speech and writing?

A detailed examination of the rules for the other "special types" will reveal many similarly unnecessary rules. Some of them parallel the general rules of the first part of the code which precede them or the rules for anonymous publications which follow them—such as the rules providing that accounts of expeditions, inscriptions, manuscripts, music, radio scripts, etc., should be entered under their authors, or, in the case of collections, under their editors or compilers or corporate bodies associated with them, or, in the case of anonymous publications, under the titles under which they may be known generally or under the titles of the publications. Some rules duplicate the general rule for the same type of work—such as the special rules for entry of engravings and for entry of architectural drawings which are clearly comprehended in the general rule for "Works of art." Some rules are based on distinctions of questionable value—such as the six ways for entering an expedition account which "consists of contributions by several persons," and the varying ways for entering calendars of manuscript collections, calendars of court records, and catalogs of private collections. And some rules relate to other rules elsewhere in the code—such as the rules for entry of anonymous inscriptions and of anonymous manuscripts which belong with the other rules for anonymous works, and the rules for entry of manuscripts of the Bible which belong with the other rules for the Bible. A few of the rules are, of course, based on conditions peculiar to the "special types," such as the association of an expedition account with the name of the ship or the captain, the identification of a manuscript by its designation within a collection, and the association of certain radio scripts with the name

of a radio program. It is suggested that the significance of these rules and their relation to the general rules would be clearer and more comprehensible if they were presented as special rules relating to particular conditions encountered in some materials, thus focusing attention on the special bibliographical conditions rather than on the "special type" of these works. The account of an expedition as such does not require any special rules of entry different from those applicable to other publications, and the same is true of works in manuscript. The account of an expedition *may* be associated with the name of the ship or the captain, if their names are part of the title of the account, and in such case it is helpful to enter the account under these names. Likewise, a manuscript *may* be designated by a certain number in some collection, and in such a case it is helpful to enter it also under that designation. But it is this possible association or designation that requires special provisions, not the fact that the subject of the work is an expedition or that the work is a manuscript.

Turning from the rules for special types of works to those for special types of authors we find a similar situation. The first type we meet here is "Married women." The first rule under this heading, rule 46, says, "Enter a married woman under her latest name, unless, as specified below, she has consistently written under another name." The specifications referred to are detailed in five rules, 46A–E, which provide that if a married woman continues to write under her maiden name, she should be entered under that name; if she continues to write or is best known under a former husband's name, she should be entered under that name; if she continues to use a former husband's name together with the present husband's name, she should so be entered; if she is divorced and resumes her maiden name, she should be entered under the maiden name; if she uses her husband's forenames, however, she cannot so be recognized, but must be entered under her own forenames. What is not clear is why these specifications are necessary. The rules apparently record how rule 46 has been applied in these cases, but except for the last-mentioned rule, they add nothing to it, nor modify it in any way. They are, indeed, so many variations on the same rule, saying in effect that if a married woman chooses to write under another than her married name, she should be entered under that name, whether it is her maiden name, a former husband's name, or a

combination of the former and present husbands' names. Presumably these rules do not exhaust all possibilities; do we propose to go on adding new rules as new cases arise, to maintain in our code a complete record of the ways in which a married, divorced, or remarried woman might wish to use any of her names or any combination of her names? The rule relating to the forenames to be used in the entry does modify the first rule; but it is inconsistent with the other rules for no apparent reason. Why should a married woman be entered under whatever surname she chooses to use on her books but not under her husband's forenames when she prefers to identify herself by those forenames? Mrs. Humphry Ward, who is cited as the first example under this rule, appears in the Library of Congress catalog as a versatile author, contributor, translator, and subject of two biographies, and is represented by seventy-five entries including more than thirty titles of fiction and non-fiction, some of them in two to seven editions, and in translation. In all of these works she appears uniformly as "Mrs. Humphry Ward," and the two biographies, one of them by her own daughter, are entitled "Mrs. Humphry Ward" and "The Life of Mrs. Humphry Ward"; why then should we inflict upon her the name "Ward, Mary Augusta (Arnold)" and not enter her under "Ward, *Mrs.* Humphry"?

Some catalogers suggested that the rule is perhaps not altogether without reason, and one of them remarked: "Suppose all 10 Mrs. Tommy Manvilles wrote their memoirs under the name of Mrs. Tommy Manville, and then wrote other things, too. I doubt if a date would distinguish them sufficiently for the public. . . ." The answer is, probably not; but neither would their forenames, if they all wrote under their husband's forenames. Presumably, in such an unlikely eventuality, it would not be unreasonable to add in parentheses the forenames of the several Mrs. Tommy Manvilles, as a helpful means of identification; but this would still have the advantage that the reader curious about the memoirs of any Mrs. Tommy Manville would find them under the name under which he would most probably look for them. One might even question whether it is ethical to impair the identity of Mrs. Ward and force upon her a name by which she chose not to identify herself in public in order to avoid an improbable complication that would arise if all the Mrs. Manvilles decided to write their memoirs and to identify themselves

by their husband's name. Why visit upon Mrs. Ward the mischief which others might create?

Beyond the question of need and reason of rules 46A–E under "Married women," there is a broader question. Since these rules are really not concerned with the fact that some authors are women and married but with the fact that this normally entails a change of name, and since a change of name is a condition to which all people are subject regardless of sex and marital status, why are any special rules necessary for "Married women"? To answer this question one must compare these rules with the other rules for changed names. The nearest rule is the preceding rule 45, and the title "Changed names" indicates that this is a general rule, presumably applicable to men as well as women, married or single. Another group of rules is found under rule 53 for "Changed names of persons in religious orders," and still other specific rules are scattered throughout the code, such as rule 65B(2) relating to Hebrew names. The general rule 45 says "Enter under the adopted name a person who in civil life has changed his name unless the original one is decidedly better known. . . ." This rule differs in wording from rule 46 for "Married women," but scarcely in intent. It says "Enter under the adopted name" while rule 46 says "Enter . . . under her latest name," but undoubtedly both rules mean under the latest name; it says "unless the original one is decidedly better known" while rule 46 says "unless . . . she has consistently written under another name," but both rules clearly mean the same thing. If we were to reword rule 45 to read "Enter a writer who changed his name under his latest name unless he continues to write, or is best known, under another name . . .," we would not violate the spirit of rule 45 and would in effect include also all that is said in rules 46 and 46B–46E. Rules 53A–53C merely say that the rule applies also to writers who adopted religious names, who are likewise to be entered under the names under which most of their works were published or those under which they are better known to the lay public. Rule 65B(2), the most specific application of rule 45, prescribes that "Jews who have settled in Palestine and have adopted Hebrew names there" should be entered under their adopted names. But if a special rule is necessary to provide for the entry of a Jewish writer who settled in Israel and adopted a Hebrew name, there is

practically no limit to the number of specific rules that will be required to provide for all possible changes of name by all people for all sorts of reasons.

We have now examined some of the general rules, some of the rules for special types of works, and some of the rules for special types of authors. There is another problem of considerably lesser importance to the purposes of cataloging but no less complicated for the cataloger in the rules providing for it—the author's title. There are, of course, those who are identified in their works by their titles or are better known by their titles; these are justifiably entered under their titles. There are also many cases when a title is helpful in identifying a person who might otherwise be confused with another person of the same name, particularly if he is entered under his forename. But should the cataloger be required in all other cases to observe the titular formalities, involving the establishment of the author's latest title and the "correct" form of the title? It should be recalled that titles are subject to change without notice, thus causing obsolescence and costly changes of entries which, otherwise, would remain accurate. It should also be recognized that the addition of a person's title is sometimes productive of incongruous entries. For example, Herbert Hoover wrote and made speeches, and was the subject of writings, before he became President of the United States. When these writings and speeches are entered uniformly under his name and presidential title, an incongruity is created between the headings and the titles of the works. Thus we have such entries as

Hoover, Herbert Clark, *Pres. U. S.*
Address of Hon. Herbert Hoover, Secretary of Commerce . . . January 9, 1924

HOOVER, HERBERT CLARK, PRES. U. S.
Kellogg, Vernon
Herbert Hoover, the man and his work . . . 1920.

In the first example, Herbert Hoover appears as *President of the United States* in the heading and as *Secretary of Commerce* in the title of the work; in the second example, Herbert Hoover, the President of the United States, appears as the subject of a work published long before his name was associated with the presidency.

Recently one of the rules related to this problem was challenged

by those most frequently affected by it. Rule 53, which prescribes that a person who adopted a religious name should be entered under that name with the addition of "the designation *Father* for priests, *Brother* for those not priests," was criticized by Catholic catalogers. They pointed out that this rule required a cataloger who was preparing an entry for a work by a Catholic author, even under an ordinary surname and forename, to inquire whether the forename was the author's secular or religious name and, if the latter was the case, whether the author was or was not a priest—both being facts not easily ascertained and apparently unessential to the purposes of cataloging. One could go on further and point out that after the inquiries have been carried out and the author was established and entered as a *Brother,* he could become a priest and require the designation *Father* before the entries for him were filed in the catalog. The catalogers, therefore, urged omission of the designations *Father* and *Brother,* except when the religious name alone was used, when these designations are needed for identification purposes. Instead, they suggested the use of the initials of the religious order to which the author belonged as more useful in identification and more easily ascertained because they are normally found on the title page accompanying the author's name and also in standard Catholic works. Other catalogers concurred with the criticism but felt that the objections raised against the designations *Father* and *Brother* were applicable also to the use of the initials of the religious orders and also to the designations *Mother* and *Sister,* and favored omission of all these designations except when the forename alone is used, and in other cases where they may be required to distinguish several people of the same name. But the arguments advanced against this rule apply with equal or greater force to all other rules relating to the use of titles of honor, nobility, office, etc.

Rule 41, the only rule dealing directly with "Titles of nobility, office, etc.," distinguishes, first, between titles of nobility and titles of office, and, second, between titles used with forenames and titles used with surnames. "Titles indicating office are given in English whenever possible, whether entry is under forename or surname"; however, "Titles of nobility are given in the vernacular when surname is the entry word" but, according to rule 43, in English when forename is the entry word. Thus, if a person has both a title of nobility and of office, both titles will be given in English if he is entered

under forename; but, if he is entered under surname, the former will be given in the vernacular and the latter in English, *e. g.*,

Andreas, *margrave of Burgau, Cardinal*
Calleja, Félix María, *conde de Calderón, Viceroy of Mexico*

Another result which may be overlooked by the unwary cataloger but will not escape the vigilant reviser is the difference in the language in which the title may have to be given in the entry and the cross reference, *e. g.*,

Asturias, Carlos, *Principe* de
see
Carlos, *Prince of Asturias*

But these are only part of the complications. Further details and complications will be found in rules 47–57 for Saints, Popes, Patriarchs, Cardinals, Sovereigns, Princes, Noblemen, etc. Rule 57, for noblemen, prescribes which titles should precede and which should follow the forename. The title *Lord* may either precede or follow the forename, depending on whether it is the courtesy title of a younger son of a duke or marquis, or the title of a judge of the Court of Sessions of Scotland. Of course, it may only be the title of address of a member of the English peerage, and in that case the appropriate title is to be substituted. The title *Lady,* likewise, may either precede or follow the forename, depending on whether it is the courtesy title of a daughter of a duke, marquis, or earl, or the title of a wife of a baronet or knight; or it may only be the title of address of a member of the English peerage, which should be replaced by the appropriate title. But if all these formalities are requisite in the use of titles, the cataloger's task might at least be facilitated by restricting the application of titles to those cases where the entry is under the author's title, or under his forename, or where they may be otherwise necessary for identification, as suggested above with regard to the designations *Father* and *Brother.*

We have now analyzed several samples from the rules in the first part of our code, and have indicated how the multiplicity of our rules could be reduced, their complexities diminished, and some of the unavoidable difficulties restricted in effect. It has been said in defense of the multiplicity and specificity of our rules that they have served to spare the cataloger the exercise of judgment required in the

application of general rules and to insure uniformity which is essential in cooperative cataloging. The foregoing analysis does not support this claim. It reveals many parallel and duplicate rules which will scarcely help the cataloger, and unnecessary or avoidable complications which will hardly contribute to uniformity in cataloging. Miss Julia Pettee foresaw this development in our rules when she warned:

> The rapid development of cooperative cataloging for which many libraries contribute copy, has created a demand for a multiplicity of minute rulings to aid in producing uniform work. The writer believes the very formidable extent of this demand makes necessary a most careful analysis of all rules to discover basic principles which, if applied consistently, will simplify the problems and eliminate many special rulings. Heaven forbid an encyclopedic work of pedantic distinctions and specific directions for every possible vagary. . . .[2]

[2] "The Development of Authorship Entry and the Formulation of Authorship Rules as Found in the Anglo-American Code," *Library Quarterly* 6: 270–90, July 1936.

II

The Corporate Complex

IN THE foregoing part, some of the rules for entry of works by personal authors were considered. An extension of the analysis would only show that the rules for corporate authors similarly contain many duplicate and parallel rules which could be eliminated, narrow rules which could profitably be combined and replaced by broad rules, and differential rules which are based on unnecessary or irrelevant distinctions and could be discarded. In this part, therefore, we shall attempt to look beyond the code and seek to gain a glimpse of the origin and development of our rules for corporate entry, the use of which Martel considered as "one of the most valuable and practical American contributions to the art of cataloging," [1] but the complexity of which has caused the American cataloger growing concern.

It is interesting to note that Cutter, who was regarded by Hanson as the "chief exponent of corporate entry," [2] was also the first who called attention to the sources of the problem. In discussing "The New Catalogue of Harvard College Library," [3] which he compiled with Ezra Abbot and which was the laboratory of his first cataloging principles, he points out the difficulties involved in determining (1) how the names of "societies, academies, institutes, universities, etc.," should be entered and (2) what their names are. With regard to the first difficulty he notes the practice of the British Museum, which then entered them under the heading "Academies," and observes that this introduces "without any apparent reason, a portion of a classed into an alphabetical catalogue." He proceeds to Jewett

[1] In his survey "Cataloging 1876–1926," *Library Journal* 51: 1066, December 1926.

[2] In his memorable article "Corporate Authorship Versus Title Entry," *Library Quarterly* 5: 460, October 1935.

[3] In the *North American Review* 108: 102–4, January 1869.

who "puts learned societies and public institutions under the names of the places where they are established," and remarks "This is well enough for foreign academies which are always known by the name of their city, as the Academy of Munich, the Royal Society of London, or the University of Göttingen; but in its application to this country it requires too much geographical knowledge on the part of the cataloguer." Moreover, he finds that Jewett's practice in the *Catalogue of the Public Library of the City of Boston* "does not always conform to his rule" as illustrated by the entry of the Massachusetts Historical Society under Massachusetts and not under Boston. He favors the rule proposed by Edward Edwards to enter societies and institutions under the name of the place only when the place "forms a part of the official name" of the body. This, he suggests, "brings both the foreign academies and our colleges under the titles by which they are most generally known." With regard to the second difficulty he points out that "Many societies seem not to be sure of their own name, and give it, to coin an example, as the Calocagathinian Society of Rome on the title-page, The Roman Calocagathinian Society in the preface, and simply The Calocagathinian Society in the text. No rule can meet such cases. Safety is to be found only in numerous cross-references."

Seven years later, in the first edition of his *Rules for a Printed Dictionary Catalogue* of 1876, Cutter enunciates the principle that "Bodies of men are to be considered as authors of works published in their name or by their authority" and repeats: "The chief difficulty with regard to bodies of men is to determine (1) what their names are and (2) whether the name or some other word shall be the heading." There seems to be no problem about the entry of government publications, international congresses, and a few other bodies; but the entry of the large group of societies and institutions appears even more difficult of solution than before. Again he notes their entry by the British Museum under the heading "Academies," which he firmly rejects because "such a heading is out of place in an author catalogue. . . ." The Boston Public Library (Jewett's) plan of entry under the name of the place is disqualified as "utterly unsuited to American and English societies." The Harvard College Library (Edward Edwards') plan of entry under the name of the place *"if it enters into the legal name of the society,"* otherwise under the first word of the name that is not an article, which in 1869

Cutter favored as one that "brings both the foreign academies and our colleges under the titles by which they are most generally known," is, significantly, no longer so favored. The legal qualification, he now contends, "does not help the cataloguer, for it is just as hard to determine whether the place enters into the *legal* name as it is to ascertain the name; it does not help the reader, for he has no means of knowing whether the place is part of the legal name or not." He mentions also the Boston Athenaeum plan (presumably developed by Cutter himself after he left Harvard College Library), which enters English societies and institutions under name and foreign ones under place, which he characterizes briefly as "simple and intelligible." Both this and the Harvard plan enter under place "all purely local societies, those whose membership or objects are confined to the place." But Cutter evidently was not entirely satisfied with the "simple and intelligible" plan, for he goes on to propose "two other possible plans, well aware that there are strong objections to both, but believing that plan 5 is on the whole the best." It is the "5th Plan" from which the mighty complex of our corporate rules grew. The 6th plan, including the same rules as the 5th plan but without the exceptions, was of no consequence and need not concern us here.

Let us, then, examine carefully Cutter's 5th Plan and trace its development in the subsequent editions of our cataloging rules. In its original form, in the first edition of Cutter's *Rules,* this plan consists of two rules, with three exceptions under the first rule and several qualifications in the second rule. Remembering Cutter's Boston Athenaeum plan, which enters foreign societies and institutions under place and English ones under name, one will recognize in the 5th Plan a modification and elaboration of that "simple and intelligible" plan. The first rule says "Enter academies, associations, institutes, universities, societies, libraries, galleries, museums, colleges, and all similar bodies, both English and foreign, according to their corporate name, neglecting an initial article when there is one." There are three exceptions. Exception 1: "Enter the royal academies of Berlin, Göttingen, Leipzig, Lisbon . . . etc., and the 'Institute' of Paris, under those cities." The reason is that "the academies are almost universally known by the name of the cities. . . ." Exception 2: "Enter London guilds under the name of the trade; *e. g.,* 'Stationers' Company,' not 'Master and Keepers

or Wardens and Commonalty of the Mystery and Art of Stationers of the City of London,' which is the corporate title." The reasons are that "(1) it gives a heading easier to find and (2) it would be difficult in many cases to ascertain the real names of the London companies." Exception 3: "Enter American state historical societies under the name of the state." No reason is given for this exception. The second rule says, "Enter churches and all local benevolent or moral or similar societies under the name of the place. Young men's Christian associations, Mercantile library associations, and the like are to be considered local. Business firms or corporations, libraries, galleries, museums, are not to be considered local, nor are private schools local, but go under their corporate name. . . . Public schools and libraries and galleries instituted or supported by a city go under the name of the city. . . ."

This plan is, then, considerably less "simple and intelligible." The meaning of "academies" in the first exception as distinct from the other bodies named in the rule is vague. One wonders why the second exception should apply only to London guilds and not to all other bodies which have long and obscure names. To declare that "libraries, galleries, museums, are not to be considered local" befogs the idea of what is local; why not simply make them an exception to the second rule if they are to be so treated? The significant new features in Cutter's 5th Plan as compared with his 4th (Boston Athenaeum) plan are: (1) the provision for entry of certain bodies under their popular name rather than under their corporate name or place (London guilds), (2) the entry of some bodies under a place name other than the city where they are located (State historical society), and (3) the distinction made in entry of municipally supported and private institutions. In view of Cutter's earlier criticism of the "legal name" provision in the Harvard College plan, one is tempted to ask how his proposed distinction in entry of municipal and private institutions could possibly help the cataloger or the reader.

Turning to the second and third editions of Cutter's *Rules,* published respectively thirteen and fifteen years after the first edition, we find the same statement of the difficulties involved in entering corporate bodies, and the same outline and discussion of the various plans for entry of societies and institutions. It seems, however, that experience with the 5th Plan has not been reassuring. For in place

of the original and unqualified expression of belief "that plan 5 is on the whole the best" we now find Cutter saying "Perhaps from habit I prefer the 4th Plan [i. e., the Boston Athenaeum plan]. Of the other plans experience confirms me in the belief that the 5th Plan is the best."

A comparison of the 5th Plan in the second and third editions with that in the first edition reveals that *Rule 1* has something new added. It now reads "Enter academies, associations . . . *and churches that have an individual name* . . . according to their corporate name. . . ." In the first edition, churches, without qualification of name, are entered according to *Rule 2* under place as local institutions. We have then here, for the first time, a new criterion, the *individual name.* The number of exceptions under this rule has increased from three to five. The first exception, providing for entry under place, now includes "*the universities* and the royal academies of Berlin . . ." and the same reason is given as in the first edition. The second exception is the same, and the same reason is given. The third and fourth exceptions are new. The third exception says, "Enter bodies whose legal name begins with such words as Board, Corporation, Trustees under that part of the name by which they are usually known. *E. g.,* Trustees of the EASTERN DISPENSARY. . . ." The fourth exception says, "Enter orders of knighthood under the significant word of the English title; as, Garter, Order of the; . . ." The fifth exception is an expansion of the original third exception in the first edition. It now reads "Enter American state historical *and agricultural* societies under the name of the state." This exception continues without a stated reason. In *Rule 2,* the provision "Public schools and libraries and galleries instituted or supported by a city go under the name of the city" is replaced by an expanded and qualified provision, "*National libraries, museums, and galleries* and libraries, *museums,* and galleries instituted or supported by a city go under the name of the city *provided they have not a name of their own* [*i. e.,* an individual name]. American public schools should in any case go under the name of the city." Thus we note in the evolving 5th Plan several additional features: (1) The emergence of the *individual name* as a new criterion for entry, but for some unexplained reason applied here only to churches, libraries, museums, and galleries; (2) provision for entry of some names under the "significant" part of the

name, or under the significant word by inversion; (3) extension of the rule providing for entry of state historical societies under the name of the state to include state agricultural societies.

Proceeding to the fourth and last edition of Cutter's *Rules,* which he prepared after forty years of active study of and experience with the problems of cataloging and which was published posthumously in 1904, thirteen years after the third edition, we find there once more the same explanation of the difficulties involved in the entry of corporate bodies. But following the rule for entry of societies and institutions, in the place where in the previous editions Cutter had reviewed and discussed the plans of the British Museum and other libraries and expressed belief in his 5th Plan, there is now a less hopeful comment: "Where to enter societies is the most difficult problem in cataloging, so difficult that the Germans evade it, not entering them at all, and the British Museum solves it by putting them in a separate catalog." The 5th Plan as such has vanished, and in its place we find a number of detailed rules reflecting a further development of its basic features: (1) The first rule of the 5th Plan providing for entry of societies and institutions under name has become a "General Rule," with a significant shift from entry under their "corporate name" to entry under "their names as they read"; (2) the application of the "individual name" principle has been extended and now qualifies previous and new rules: "The colleges of an English university and the *unnamed professional* schools of an American university go under the university's name. *Such professional schools if they have a distinctive name . . . go under their own name";* "Enter observatories under the name of the place, except that . . . any observatory having an individual name may go under that"; (3) the rule for entry of state historical societies under the name of the state, which in the second and third editions was extended to include state agricultural societies, has been extended further and modified by the "distinctive name" provision: "Enter American *state universities and* state historical, agricultural *and medical* societies *whether supported by the state or not* under the name of the state; *unless they are better known by a distinctive name."* This time the reason for this rule is stated: "The state's name usually enters into the name of these societies and they are known outside of the state by its name." But if that is the reason, why should it apply only to state universities and certain state

societies and not to all societies and institutions whose names contain the name of a place?

Reviewing this fourth edition, Currier pointed out that Cutter's rule for entry of state historical, agricultural, and medical societies under state while all other societies are to be entered under name will "lead to inconsistency of placing the Medical Society of the County of Kings, N. Y., under the first word and the Medical Association of the State of Alabama under Alabama, or, again, the State Historical Society of Wisconsin under Wisconsin and the State Microscopical Society of Illinois under the word State. . . . It is not satisfactory to make exception for a group like the state societies as distinguished from county or local societies, or for agricultural historical and medical societies as opposed to geographical and microscopical." [4] Shortly after that, in an outline of the "Rules for Corporate Entry" which he and Currier were to prepare for the then forthcoming edition of the A. L. A. rules, Hanson expressed a similar view and, for this reason, proposed that no exception should be made for state historical, agricultural, and medical societies, but that all societies should equally be entered under name.[5] Curiously, however, we find in the same outline under the rules for "Institutions," which are here treated separately and differently from "Societies," the provision that *"American state universities and libraries* are to be entered under the name of the state, e. g., California. University; Massachusetts. State library." There is no explanation of why it is well to enter certain state *institutions* under the name of the state if it is not satisfactory to do so for certain state *societies,* or why only state *universities* and *libraries* are to be so entered and not other state institutions, or why only *state* universities and libraries are to be so entered and not *county* and other regional universities and libraries. Furthermore, a year later we find Hanson, the proponent of different rules for the entry of state societies and state institutions, explaining to an inquiring cataloger that "According to the A. L. A. rules revised (not yet in print)" the Historical Society of Montana would be entered under the first word of the name, but that "The Library of Congress has not as yet seen its way clear to adopt this rule" and would enter it as "Montana.

[4] *Library Journal* 30: 43, January 1905.
[5] *Library Journal* 30: 75–6, February 1905.

Historical society." "Practically the same principle," he goes on to point out, is followed in entering the University of California as "California. University." [6] Here, then, Hanson appears to see no reason why state societies should be entered differently from state institutions.

The *Catalog Rules* of 1908, adopting the "Rules for Corporate Entry" proposed by Hanson and Currier, continued the divergence between the rules for "Societies" and "Institutions" and the inconsistency inherent in this separation. At the end of the general rule prescribing the entry of a society "under the first word (not an article) of its corporate name," there is a notice:

> American state historical, agricultural, and medical societies, and benevolent, moral, and similar societies, purely local, for which entry under the place is prescribed in both Cutter and the A. L. A. Rules, Advance ed., are not considered sufficiently distinct or well-defined to warrant their exception from the general rule. . .

Although alternatives are provided for "libraries which prefer to continue the practice of entering them under the place," this is not the course recommended. Under the rules for institutions, however, we find Hanson's rule for entry of "American state universities and libraries" under the name of the state now extended to include all "American state institutions (universities, libraries, etc.)" and even "certain institutions which, although not strictly official . . . are, on account of their names, most frequently looked for under the name of the state . . . [e. g.] Pennsylvania. University . . ."; and his rule for "A few libraries and other institutions called imperial, national, etc." is now generalized into:

> National institutions (often designated as Imperial, Royal, National, and the like) which include in their names the name of the country, and therefore tend to become better known by the name of the country than by that of the city or town where they are located, are to be entered under the name of the country. . .

But if this psychological explanation is valid, why would it apply to institutions but not to societies, and why only to those institutions including the name of a state or country but not to those including the name of a county or other region?

The schism at the base of our rules for corporate entry between societies and institutions, their uncertainty of direction, and the in-

[6] *Library Journal* 31: 99–100, February 1906.

consistency in principle and pattern of the rules continue to characterize their subsequent development. The probing changes made in the course of the intervening years are incorporated in the second edition of the *A. L. A. Cataloging Rules* of 1949. There we find that the rule for state societies has meantime once more been reversed and this time contracted, American state historical and agricultural societies being entered again under the name of the state, but no other state societies; the rule for state institutions has further been expanded to include Canadian provincial institutions; at the same time, the rule for entry of certain national institutions under the name of the country has degenerated into a feeble, permissive, and inconspicuous footnote, an irrelevant appendage to the sentence "In foreign names the adjective denoting a national body is not to be abbreviated." A closer examination of the rules for entry of societies and institutions will reveal a diversity of method which defies any reasonable explanation and could be accepted only as cataloging dogma. A comparison between the rules for societies and the rules for institutions shows the following differences:

(*a*) While the rule for American state institutions extends also to Canadian provincial institutions, the rule for American state societies does not extend to similar Canadian societies.

(*b*) While the rule for state institutions applies equally to *all* state institutions, the rule for state societies is restricted to *historical* and *agricultural* societies.

(*c*) While the rule for state institutions includes institutions which are not "strictly official" but which resemble in name a state institution (in consequence of which the University of Pennsylvania, not a state university, is also entered under the name of the state as "Pennsylvania. University"), the rule for state societies does not apply to societies having similar names (in consequence of which the Historical and Philosophical Society of Ohio, not a state society, is entered under this name and not under the name of the state).

(*d*) While state institutions are entered uniformly under the name of the state followed by a period, including those whose name begins with the name of the state (in consequence of which Indiana university is entered as "Indiana. University," with a period after the name of the state, and not as given in the 1908 code "Indiana university," without a period), state societies beginning with the name of the state are to be entered under their name without a period

after the name of the state (*e. g.,* Ohio State Archaeological and Historical Society).

(*e*) While there is some analogous provision for entry of national institutions under the name of the country, there is no corresponding provision for national societies.

A similar comparison within the rules for institutions will reveal the following variations of treatment: city institutions will fortuitously, by virtue of the general rule for institutions, be entered under the name of the city, excepting United States and British Empire institutions beginning "with a proper noun or proper adjective"; state institutions are, by specific provision, to be entered under the name of the state, including those beginning with a proper noun or proper adjective (*e. g.* Texas. Sam Houston State Teachers' College, *Huntsville*), but excluding possibly state institutions "having a distinctive name which gives no indication of its relation to the state" (*e. g.,* Miami University, *Oxford, Ohio*); national institutions may, by an inconspicuous permissive footnote, be entered under the name of the country, if they include in their names the name of the country—a qualification required only in this case. There is no provision for county institutions. Consequently, one may find in the Library of Congress depository catalogs the entries

Los Angeles. Los Angeles County General Hospital

and

Los Angeles County Public Library

both of which are inconsistent with one another and with the forms of entry prescribed for municipal and state institutions (*e. g.,* "Los Angeles. Public Library," "California. State Library"). Only one institution, Archives, has been favored with entry under city, county, state, etc., as may be appropriate:

> Enter national, state, provincial, municipal, diocesan, parish and other local archives under the name of the country, state, city, diocese, etc. . . .

Why this rule should apply to archives and not to such a closely related institution as libraries—as a result of which the Bibliothèque Nationale is entered under Paris but the Archives Nationales are under France—is not readily apparent. The glaring inconsistency between the entry of libraries and archives is disguised by the fact that the rule for archives is removed from the rules for other institutions and is concealed among those for "Government Publications";

but that hardly lessens the similarity between these institutions. One might even point out that in the Vatican *Rules* archives and libraries are cited together as examples of institutions. As if to balance the rule for Archives, there is also one association which is similarly favored:

> Enter chambers of commerce devoted mainly to the promotion of business interests of a definite political division under the name of the place (country, state, province, city, etc.).

But if this rule is valid for chambers of commerce of any locality, why would it not apply also to other local associations—such as historical, medical, and library associations? The inconsistency between the entry of chambers of commerce and that of other associations is also disguised by the fact that this rule is removed from the rules for other societies and associations and is concealed in the amorphous conglomeration of "Miscellaneous Bodies"; but that, too, does not alter the character of a chamber of commerce which is defined in our standard dictionaries as "a board or association to promote the commercial interests of a locality."

Earlier in this report, the emergence and extension of the principle that corporate bodies having *distinctive* or *individual* names should be entered under their names was traced in the four editions of Cutter's *Rules*. In Hanson's "Rules for Corporate Entry" of 1905 cited before, where "Institutions" are separated from "Societies," the general rule prescribing entry of an institution under the name of the place where it is located is followed by a general exception providing that "An institution having a distinctive name is to be entered under this name." This exception is embodied also in the 1908 and 1949 rules, although in the latter it is restricted to "institutions of the United States or of the British Empire whose name begins with a proper noun or proper adjective." But this exception is significant, because it suggests that Hanson's intent, like Cutter's, was really not to distinguish between societies and institutions as such, but rather to distinguish between corporate bodies having distinctive names, which were to be entered under their names whether institutions or societies, and those having common names, which had to be identified by the name of the place where they were located. The separation of institutions from societies may have been made because of the fact that institutions generally

typify bodies having common names while societies generally exemplify bodies having individual names. This conclusion is consistent with that of Wyllis E. Wright who, in his study of the principles underlying our cataloging rules, says "Institutions . . . have names which are frequently not distinctive, and entry under place avoids confusion resulting from entry under name of several homonymous institutions," [7] and with that of S. R. Ranganathan who similarly thought that "the real factor behind the distinction [between societies and institutions] is . . . the fact that many common institutions—like museums, churches, hospitals, zoological gardens—have no distinctive names." [8] But by identifying the rules with societies and institutions rather than the *conditions* exemplified by them, the real purpose of the rules was misrepresented and corporate bodies having similar qualifications have come to be treated differently. Thus, for example, we find children's hospitals having no distinctive names entered under the city, because they are institutions, *e. g.*,

Boston. Children's Hospital
Philadelphia. Children's Hospital
Washington, D. C. Children's Hospital

but children's aid societies, likewise having no distinctive names, entered under their names, because they are societies, *e. g.*,

Children's Aid Society, Bombay
Children's Aid Society, New York
Children's Aid Society of Chicago
Children's Aid Society of Pennsylvania.

Similarly we shall find a symphony hall under the name of the city (as Boston. Symphony Hall), but a symphony orchestra society equally indistinctive in name under its name (as Civic Symphony Orchestra Society, *Fort Wayne, Ind.*); the library of a university under the name of the university (as Toledo. University. Library), but the friends of the same library equally indistinctive in name under their name (as Friends of the University Library, *University of Toledo*). However, the alumni association of the same university

[7] "Some Fundamental Principles in Cataloging," *Catalogers' and Classifiers' Yearbook* no. 7, 1938, p. 33.

[8] *Theory of Library Catalogue,* Madras, 1938, p. 314.

would be entered under the name of the university, unless it had a distinctive name, and some other associations having indistinctive names are variously entered by special rules. This is hardly the result contemplated by Cutter and Hanson, but it is the inevitable consequence of rules aimed at *illustrations* rather than their *qualifications,* of rules aimed at *objects* rather than *objectives.*

It is quite possible that our rules were designed for particular types of societies, institutions, etc., rather than for corporate bodies having or lacking individual or distinctive names, because of the difficulty encountered in attempting to formulate a working definition of what is an individual or distinctive name. The rules may have therefore been framed with the practical objective of circumventing this difficulty and of implementing the principle of the individual name by identifying the types of corporate bodies which are characterized by distinctive or indistinctive names. But if this was the objective, it, too, has miscarried. In the first place, the individual or distinctive name has remained an important and live part of our rules, and if it is not embodied in our code as a single general principle or rule it is imbedded fragmentarily in our rules in the form of many exceptions and qualifications, as noted before. Secondly, the effort to identify types of societies and institutions having or lacking individual names is bound to be futile and will only produce chains of exceptions and exceptions to exceptions, since no class, group, type, or variety of societies or institutions can be assumed to include organizations having only distinctive names or indistinctive names.

It is apparent from the foregoing that recognition of the principle that corporate bodies having individual or distinctive names should be entered under their names is essential to the solution of the problem of corporate entry and to the rationalization and simplification of our rules. It is also apparent, however, that the effectiveness of the principle will depend on the adequacy of our definition of what is an individual or distinctive name. What, then, is an *individual* or *distinctive* name, and how could it be recognized by the cataloger in practice?

The answer to the first question was clear from the beginning. As may have been noted before, when Cutter first introduced this principle in the second edition of his *Rules* he referred in *Rule 1* of his 5th Plan to "churches that have an individual name" and in

Rule 2 d to "libraries, museums, and galleries . . . [that] have not a name of their own." Thus Cutter divided corporate bodies generally into two broad classes: those having "individual" names—that is, "names of their own," or names which are peculiar to them and distinguish them from other bodies of their type—and those having no names of their own, or names common to many bodies of their type. The former could be identified by their names and were therefore to be entered under their names; the latter, having no distinguishing names, had to be identified by the locality or other body with which they were associated and were therefore to be entered under the name of the locality or body which distinguished them. The "Public Library" of Boston was cited as an example of those having no individual name, the "Hoar Library" of Littleton was cited as an example of those having an "individual" name, or a "name of their own."

It is the second and practical question, how the cataloger could tell whether the corporate name he had before him was an "individual" or common name, over which Cutter and Hanson foundered and which caused the development of most of our corporate rules as an indirect, complex, and cumbersome answer to the question. For while it could be assumed that every cataloger would readily recognize that "Public Library" was not an individual name but one common to many libraries of a given type, and that "Hoar Library" was probably the name of a particular library and not one common to many libraries, it was also obvious that in many cases it would be very difficult (and at the same time of very dubious value) for the cataloger to determine whether a given name was that of one particular society or organization, or of more than one society or organization. In his fourth edition of the *Rules* Cutter appears to have sought to obviate this difficulty by abandoning the criterion of "names of their own" and defining the "distinctive name" and the "individual name" as follows: "A distinctive name is usually one beginning with a proper noun or adjective"; "An *individual* name is generally one taken from the name of a person." These definitions facilitated the problem for the cataloger by the provision of easy criteria, but the qualifications "usually" in the former and "generally" in the latter continued to plague the cataloger in all other cases where these criteria were absent. The different definitions for "distinctive" and "individual" names also meant that some

bodies, *e. g.* observatories, were to be entered under their names only if they began with the "name of a person," while other bodies, *e. g.* libraries, museums, and galleries, would be entered under their names if they began with any "proper noun or adjective." The Catalog Rules Committee of the A. L. A., of which Cutter was one of the most active members until his last illness, discarded this double standard of "individual" and "distinctive" names and also Cutter's definitions; but Hanson, the chairman of the Committee, favored Cutter's definition of the "distinctive name," although not his distinction between the "individual name" and the "distinctive name." In his outline of the "Rules for Corporate Entry" of 1905, already referred to, Hanson discusses the several definitions considered by the Committee:

> The words "distinctive" and "individual" were used freely in the Advance edition. Three definitions of the word individual were submitted and considered at the last meeting of the Committee, of which the following was favored by the majority: "An individual name is one containing a distinctive appellation, i. e., one which is not simply descriptive in character."
>
> The second definition (Mr. Josephson's) submitted in a communication from Mr. Andrews, reads "With an 'individual' name is understood: (a) A name derived from the name of a person; (b) a name derived from the name of a locality other than where the society or institution is located; (c) a name that defines the scope of the society or institution to a scientific, literary, artistic or technical specialty; (d) a name that is in any way peculiar."
>
> The third definition (Library of Congress) confines "individual" names to those which begin with a proper name or adjective.
>
> The first definition seems to me inadequate and to require a further definition of what is to be considered as "simply descriptive." As to the second definition, it will be found that catalogers and bibliographers who have attempted to apply the underlying principle have made a failure of it. The names of many societies embrace in combinations and in various degrees of emphasis or dis-

tinction the names of its home, of the territory indicating the sphere of its activity or researches (b), and of the specialty which it cultivates (c). The rule is but our old friend (or enemy) in disguise: "Enter under the catch word." It will work no less confusion if applied to the names of societies and institutions than when applied to title entries. While the third definition is somewhat arbitrary in confining "individual" names to those which begin with a proper name or adjective, this is nevertheless the one to which I still adhere. It is a question in my mind whether it would not be advisable to go even farther and restrict "individual" or "distinctive" as applied in the rules for corporate entry to names derived from the name of a person only.[9]

The *Catalog Rules* of 1908 show that Hanson's opinion prevailed, and that the definition suggested by the Library of Congress—which is actually Cutter's definition of the "distinctive name" without the perplexing qualification "usually"—was adopted. Rule 83 was made to read, "Enter an institution whose name begins with a proper noun or adjective under the first word of its name, and refer from the name of the place where it is located." This was presumably adopted as the most *practical* definition—that is, as a definition which could most readily be applied by all catalogers—but it was also transparently artificial and proved very inadequate. On the one hand, the very existence of many Carnegie libraries belied the idea that a name beginning with a proper noun or adjective was an individual or distinctive name; on the other hand, it was apparent that an incalculable number of organizations had unique functions and names although they did not begin with proper nouns or adjectives. Thus it became necessary to create many rules and exceptions in order to identify the corporate bodies which should be entered under their names although they did not begin with proper nouns or adjectives, and also to identify the corporate bodies which should not be entered under their names although they began with proper nouns or adjectives.

We thus come to the root and the essence of the problem of corporate entry. We recognize, first, that corporate bodies, like in-

[9] *Library Journal* 30: 76–77, February 1905.

dividuals, are generally known and referred to by their names and should therefore be entered directly under their names as individuals are. This is, of course, implicit in the very principle of corporate authorship. We recognize also, however, that many corporate bodies, unlike individuals, have no proper "names of their own" but names common to many individual bodies of their type, such as Public Library, Museum, Zoological Garden, Historical Society, Chamber of Commerce, and similar generic names. These bodies must be and generally are identified by the name of the city, state, etc., with which they are associated. The question is, therefore, whether these bodies should be entered under their names or under the name of the city, state, etc., with which they are associated and by which they are identified. The simplest answer would be to enter these bodies also under their names, followed by the name of the place required for their identification—that is, to treat the common name of a corporate body as its proper name. That would be similar to our entry of the John Smiths and of such place names as Plymouth, Richmond, or Salem, although these names are more proper in character because they do not describe types of people or places as the other names describe types of corporate bodies. This is the course originally chosen by Charles C. Jewett, who prescribed in his rule XXI that "Academies, institutes, associations . . . assemblies, conventions, boards, corporations, or other bodies of men under whatever name, and for whatever purpose" should be entered under "the name of the body, the principal word to be the first word, not an article." [10]

It is also the course recommended recently by J. Frédéric Finó after a careful study of the problem [11] and by Mortimer Taube in his persuasive analysis of our rules for corporate entry.[12] The most important objections to this plan are two. First, as noted by Wyllis E. Wright in his study mentioned before,[13] is the fact that the entry of many homonymous bodies under their names would be confusing to the user of the catalog. While this cannot be denied, it is very

[10] *On the Construction of Catalogues of Libraries, and of a General Catalogue,* Washington, 1852, p. 42.

[11] *Encabezamientos de Entes Colectivos,* Buenos Aires, 1948.

[12] "The Cataloging of Publications of Corporate Authors," *Library Quarterly* 20: 1–20, January 1950.

[13] *Op. cit.,* p. 33.

difficult to imagine that that confusion would be greater than the confusion resulting from our present rules. Second, as implied in the Preface to the *Catalog Rules* of 1908, is the belief that the English and American reader is most likely by habit to think of, refer to, and look for such names by the name of the locality with which the corporate body is identified, and we have been admonished that "it is unwise for the cataloger to ignore" the habits of the reader "even if they demand a sacrifice of system and simplicity." It is, then, as an exploit in reader psychology that we have evolved a maze of rules in the apparent belief that although the cataloger may have to grope his own way, he will lead the reader surely to the desired destination. But if our interpretation of the reader's habits is accurate, we might serve them more effectively, and at considerably less sacrifice of system and simplicity, by recognizing that corporate bodies, like individuals, will generally be looked for by the reader under their names, excepting those which have names common to many individual bodies of their type found in various cities, states, or other localities. These are naturally likely to be referred to and looked for most frequently by the name of the locality with which they are identified and should therefore be entered under that name. Obviously no sharp line could be drawn which would determine exactly when that habit would begin to lead the reader to look for a corporate body under the name of the place rather than under its name, and in many cases the entry under name would be as good as under place and vice versa. These could only arbitrarily be decided. If it is deemed desirable to record these arbitrary decisions with regard to certain types of corporate bodies or names, they could readily be listed as such. The cataloger would then walk in the light, and would be able to see his way more clearly and follow it more consistently. But to clothe every arbitrary decision with the authority of a rule and to clutter the code with a growing multitude of arbitrary rules and exceptions is to play havoc with the intellectual fabric of our code. When we arbitrarily confine the entry of an institution under its name to one "beginning with a proper noun or proper adjective," we do violence to the principle we set out to serve; when we go on further and limit this rule to "an institution of the United States or of the British Empire," we unwittingly tie the fate of our rules to the political fortunes of the British Empire!

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The tortuous course we have followed in the past seventy-five years in dealing with the problem of corporate entry has proved increasingly perplexing even to the proponents of the principle of corporate authorship. Early in the development of our rules, William I. Fletcher, an iconoclast of his day, assailed the principle of corporate authorship as "one of the most flagrant library superstitions"; he had tried and abandoned it, and when he adopted Dziatzko's principle of entering corporate publications as anonymous works he found it "like the shadow of a great rock in a weary land."[14] Cutter, in reply, argued that the principle of corporate authorship was sound theoretically, because a corporate body actually is the author of its reports, proceedings, and the like, in the same way as an individual is of his works; and practically, because the principle provides for bringing together the works of a given body which otherwise would be scattered in the catalog under their titles. But after more than 35 years of experience with the problem of corporate entry Cutter could defend only its principle but had to admit the difficulties of its implementation: "I adhere unreservedly to the principle of corporate authorship . . . although I still feel the difficulty of choosing among the various ways of carrying out that principle in regard to the names of societies."[15] This difficulty grew and entailed a growing number of complications, and after a similar period of study and trial we find Cutter's successor, Hanson, reflecting more doubtfully on the problem.

> . . . why must we go on spending years and years of time and hundreds of thousands of dollars in deciding whether we are dealing with a society or an institution; whether an institution is to be entered under its own name, the name of the country or municipality which supports it, the place of location, or as a subhead under some larger or more comprehensive institution of which it forms a part or with which it is in some way affiliated? Why bother our heads about such a trifling matter as whether Mr. Childs did a given piece of bibliographic work on his own time and at his own expense and accordingly to be entered under his name; or on Government time and at Government

[14] "Corporate Authorship," *Library Journal* 21:493–4, November 1896.

[15] "Corporate Entry: Further Considerations," *Library Journal* 22:432, September 1897.

expense, and therefore to be entered under the institution which pays him a salary? . . . [Why should catalogers] spend hours upon hours of their official and even unofficial time in efforts, often vain, to differentiate between Government-owned or privately owned institutions; . . . whether an observatory, a library, or museum is to stand on its own and be entered under its name, or, because of some Government support or affiliation, under a country, city, or another institution. And then consider . . . the many complications and difficult decisions arising from changes in names, new affiliations, and the many changing conditions which affect the status and generally also the name of a society, an institution, or a Government department . . .[16]

There was no answer to these questions; but Hanson, too, was not ready to abandon the principle of corporate authorship despite the difficulties of its implementation. In a recent review of cataloging developments in America for the International Library Committee Andrew Osborn thus summarized the situation:

We have to admit in the first instance that we are not clear in our minds about the fundamental theory of the corporate entry. We are not sure, for example, when to use the official name of a body and when to use another form, commonly the popular name. We are very unsure about subdivisions of corporate names, that is, when to subdivide and how far to carry the subdivisions. When there is a choice of entry between a corporate and a personal name, we do not always know which is the form to prefer . . . We are sure that the corporate entry is sound in theory, but we are not so sure when it comes to individual cases." [17]

In the face of this long and weary experience, can we continue on the same course?

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[16] "Corporate Authorship versus Title Entry," *Library Quarterly* 5:458–9, October 1935.

[17] "Cataloging Developments in the United States 1940–1947," *Actes du Comité International des Bibliothèques,* 13me Session, Oslo, 1947, p. 71.

III

Design for a Code

AT THE beginning of this study we noted the growth and complexity of our code and set out to inquire whether all the rules were necessary, whether all the complexities were inevitable, and whether there was any underlying design or pattern which gave our code unity and purpose. We have now examined some of the rules analytically and others etiologically, considering their need, their relation to the other rules of the code, and their consistency in purpose and principle with the other rules. Not every rule has been examined, but a sufficient number and variety of rules have been analyzed to indicate that our code is deficient in principle and structure. It is apparent that a rationalization of our cataloging will require not a revision of any particular rules, but a complete reconstruction of our code in accordance with deliberately adopted objectives which should define the aim of our rules, and well considered principles which would outline the pattern and character of the code. What, then, are these objectives and principles?

OBJECTIVES AND IMPLICATIONS

The objectives implicit in our rules for entry are two. The first objective is to enable the user of the catalog to determine readily whether or not the library has the book he wants. The catalog is constantly searched by many readers and members of the staff, and the quicker this information can be found the better the catalog. The second objective is to reveal to the user of the catalog, under one form of the author's name, what works the library has by a given author and what editions or translations of a given work. Many users of the library, particularly scholars and students, require this information which otherwise might have to be gathered laboriously from various parts of the catalog. Other users are thus enabled conveniently to select the edition or translation of a work

which will best suit their purposes, or to find related works of the author, or to identify a work whose title was vaguely or inaccurately cited, or to find a work which was not cataloged separately. This information also helps the classifier to arrange the books systematically under a given subject—first by author, then by title, and last by edition and translation.

The need for the second objective arises from the fact that the works of an author may be issued under different names as a result of a change, translation, transliteration, or even misprint of the author's name, and the editions of a work may be issued under different titles for similar reasons, and could, therefore, otherwise be separated in the catalog. The cataloger is thus required, in recording a work, to establish the identity of the author and the relationships of the work. This has proved to be costly, and the provisions designed to implement this objective have also served to complicate our rules. For these reasons, some librarians have inclined to challenge the second objective and to limit cataloging to the first objective—to showing whether or not a given book is in the library. This report assumes that the second objective will continue to be recognized as important to the integrity and effectiveness of the catalog, and that it will be followed in the future to the extent that a library may find it reasonable and feasible. To discard a useful objective which can often be carried out without material difficulty because its unqualified application would lead us into serious difficulties is to abdicate the role of administrative policy, which must in the application of all principles and rules determine the point of diminishing returns and the limits of the library's ability to cope with the task.

Both these objectives were staunchly defended by Panizzi before the Royal Commission in 1849 and have since been pursued in the Anglo-American cataloging rules. But the objectives are inherently in conflict, and the conflict is reflected in the vicissitudes of our rules. Thus we may find that, on the one hand, Panizzi decried the entry of a work "under a title of nobility or dignity, or the mere form of name as it appears on the title-page," because this might disperse "the works of many noblemen and most prelates in different parts of the catalog"; on the other hand, he deprecated the entry (by one of the witnesses before the Commission) of a given work under its editor's name "Utterson, Edward Vernon," because "the preface

by the editor is signed E. V. U., and there is no other indication on the book of the editor's name." In the latter case, then, Panizzi seemed unperturbed about the possible dispersal of Utterson's works, but concerned primarily with facilitating the location of the particular work, which would probably be looked for under the initials under which it was published. Panizzi's rules providing for the entry of a book under the author's initials if so issued (rule XXXII), or under the pseudonym used by the author (rule XLI), or under the title of the book if anonymously published, even when its author is known to the cataloger (rule XXXIX), were aimed at the first objective—to facilitate the location of these books, which are bound to be so cited and looked for, even though the works of many authors would thus be dispersed. But his rules providing for the entry of translations under the vernacular form of the author's name (rule X), of noblemen and church dignitaries under their family names (rules XIV, XV), and of authors who changed their names under their original names (rule XI) were designed in accordance with the second objective—which is to bring the works of these authors together, even though the location of many books which are bound to be cited and looked for under the names given in the books would thus be made more difficult. The A. L. A. rules are logically more consistent when they provide for entry under the author's name of works published under his initials, pseudonyms, or without his name; but in so doing they sacrifice more of the time and convenience of all those who will look for these works under the initials or pseudonyms given on the works, or under their titles if anonymously published—that is, they sacrifice the first objective to the second.

We are then confronted, at the beginning, with the question of whether and how the two conflicting objectives might be reconciled. The answer appears to lie in the fact that while the second objective requires that the works of an author should all be entered under one form of the author's name, it does not dictate any particular form; whereas the first objective requires that the books should be entered under that form of the author's name under which he is bound to be cited and looked for most frequently by the users of the catalog. That form is generally the one which appears in the author's works, unless he is best known under another form of name. But each of these requirements presents difficulties. The require-

ment to enter all the works of an author under one form of name means that works originally entered under different names, initials, pseudonyms, or as anonymous titles may later have to be changed when they are found to be works of the same author. Such change may not be serious in card catalogs, but is obviously impossible to effect in printed catalogs. There is, therefore, a great deal to be said in favor of Panizzi's and the British Museum rules which enter anonymous works under their titles, pseudonymous works under the pseudonyms, and works containing the initials of an author under these initials—particularly if printed catalogs are contemplated. These rules not only facilitate the location of the works affected, but, by divorcing them from the other works of the same authors and entering them on the basis of their own title pages, they make the entries permanently valid and not subject to change. When it is found that the works belong together with other works of the same author, a cross-reference can be prepared to show the various names or forms of name under which the works of the author are entered, without altering the original entries. On the other hand, however, one must then accept as a concomitant condition the dispersal of the works of an author and the editions of a work in different places of the catalog. Thus we may find in the British Museum *Catalogue:*

McDonald (E. A.) *pseud.* [i.e., Andrew Melrose]
Mr. Gladstone: a popular biography.
1891.

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Melrose (Andrew) *See* McDonald (E. A.)
—— Mr. Gladstone: a popular biography.
New edition. 1898.

Here the reader referred to the biography of Mr. Gladstone by E. A. McDonald would not find out about the existence of the new edition published under the name of Andrew Melrose unless he regularly checked the catalog under all the names and forms of name under which the works of the author have been entered and under which he might be cited. It is hardly necessary to point out that this would entail a loss of all the advantages of entry under one form of name mentioned before. If, however, on balance of all the considerations

one chose this course, he would have been required by the same reasons to enter similarly the works of noblemen, church dignitaries, and authors who have changed their names under their titles or names as given in the books and not under one form of name as provided by Panizzi.

The requirement to enter the works of an author under the form of name found in his works unless he is best known under another name presents no serious difficulties in the case of ancient writers and writers who are no longer living. But in the case of a new or contemporary writer it is obviously impossible to foresee which name will appear in most of his works or under which name he will become best known. The latter requirement was also vigorously denounced by James Duff Brown, who remonstrated:

> What is the 'best-known' name of any author? Here is a conundrum which would puzzle Plato himself. Is it the name by which he was best known to his contemporaries, or the name which would legally insure succession to property? Is it a temporary nickname or pseudonym, the name by which he or she is known in history, or is it the name which strikes the cataloguer as easiest to remember or shortest to write? . . . These illustrations show that there is no such thing as a 'best-known' name which has any permanence, and the rules which give a discretionary power of this kind to cataloguers simply provide a means of creating endless confusion and variations.[1]

To avoid such consequences Brown prescribed as an "unalterable and perfectly scientific standard" that an author should be entered under "the legal family name under which he or she was born." Accordingly he also deplored the A. L. A. rule providing that works of a nobleman should be entered under his latest title unless he is better known by his family name:

> It seems a pity that the practice of the *Dictionary of National Biography* could not be adopted by the American committee. In it the family names are always used, with the result that all the members of particular families are brought together, instead of being scattered over an alphabet of meaningless titles . . . It seems strange that, even in catalogue rules, the Americans should show so much love for aristocratic titles. But surely it is fitter that an aristocratic rather than a democratic nation should determine the best way to deal with noblemen![2]

These are strong arguments, but the solution scorns the first objective of our rules—which is to enter a work under the name under

[1] *A Manual of Practical Bibliography,* London [1906], p. 49.

[2] *Library Classification and Cataloguing,* London, 1912, p. 109.

which it is likely to be looked for most frequently by the users of the catalog. And this objective applies to the entry of works by noblemen as well as those by plebeians. It is true that the use of "the legal family name" would meet Brown's requirements of permanence and uniformity of entry. But while permanence and uniformity are indisputably desirable qualifications of an entry, they are not in themselves the objectives of cataloging. The entry of an author under "the legal family name under which he or she was born" when the author has used another name in his works or is known under another name would be (a) very costly, because of the difficulty of establishing in all cases what the "legal family name" was, and (b) very inconvenient, because the user of the catalog would never find the books under the name under which they would normally be cited and looked for. If permanence and uniformity of entry were the paramount considerations in cataloging, they could be achieved to the highest degree and at the least cost by entering all books under the names or titles found on their title pages. Brown's requirements of permanence and uniformity of entry concern themselves with the means rather than the ends of cataloging. They would improve the entry, but not the catalog. The principles which should underlie the revision of our rules must focus on the objectives adopted. These objectives define the aim and the direction of our cataloging rules and should always be kept in view, even if they cannot always be fully attained.

BIBLIOGRAPHIC CONDITIONS AND PRINCIPLES

Having considered the objectives at which we should aim in cataloging and their implications, let us now turn to examine the material for which our principles and rules are to be designed and note the conditions encountered.

Basic conditions and principles.—The prevailing type of material which is found in a library and is recorded in its catalog is the book; and the most important characteristic of the book, for the purposes of cataloging, is the fact that it is provided with a prominent identification tag in the form of a title page. The cataloger can thus anticipate how a particular book will normally be cited and looked for and provide for it accordingly. The title page generally includes the name of the author and the title of the book, sometimes only the title of the book, and occasionally only the name of the

author. The name of the author and the title of the book are therefore the most important clues by which the book will be identified when cited, and by which it will be looked for in the catalog or called for in the library. The principles and rules for the entry of books must consequently be based on these two elements, and will apply similarly to other materials identified by an author, or title, or both.

It is interesting to note that, at the hearings before the Royal Commission on Panizzi's rules in 1849, one of the witnesses, a diligent user of the British Museum library and a severe critic of its catalog of that time, postulated that the difficulty in finding books in the British Museum catalog could have been obviated by "following the simple plan of their being put under the author's name, or where you cannot do that under the name of the work." He went on to explain, "If you take any work, there is the title-page. If they will describe the books in the catalogue by the title-page any reader will find what is wanted." Panizzi demonstrated that this simple plan was not always sufficient; but Cutter, in his first discussion of cataloging principles in the article on "The New Catalogue of Harvard College Library" mentioned before, maintained that

> although bibliographers are not agreed upon all the details . . . yet almost all the rules may be reduced to two great principles: first that books shall be cataloged under the name of the author, or (in the case of collections) the editor, or the body responsible for their publication; second, that, if this is not known, the first word in the title not an article or a preposition shall be taken for the heading.

These "two great principles" concern themselves with the elemental bibliographic conditions of a book and thus provide the core around which a logical and practical pattern for a cataloging code could be evolved.

We thus begin with the principles that books whose authors are known should be entered under their authors and those whose authors are not known should be entered under their titles. The latter requires no explanation; in the absence of an author, the title is the only remaining clue by which a given book can directly and readily be identified and found. One might question whether the entry in such a case should be under the first word of the title not an article or under the significant words of the title, but that question has already been disposed of brilliantly and decisively by Panizzi in

the hearings before the Royal Commission and need not be discussed here. The reason for entry of works whose author is known under the name of the author may not be immediately apparent, but will become clear when it is realized that many titles are very common—such as Collected Works, Essays, Letters, Memoirs, Poems, Short Stories, Physics, College Algebra, American History, Bulletin, Journal, Proceedings, etc.—and are in themselves inadequate clues for the identification and location of these books, but are adequate as secondary clues under the names of their authors. Of course, there are many cases when the name of the author is a common name and the title of the book is an uncommon title and is then more helpful for the identification and location of the book than is the author's name. But since entry under the author's name is always required to bring his works and the editions of his works together in the catalog, it is prescribed as the main or principal entry; the title entries, where desired or necessary to facilitate the location of given books, can then be prepared as auxiliary or added entries. Another very important consideration that should be borne in mind in designing and evaluating our principles and rules of entry is the fact that the introduction and general use of printed and otherwise manufactured catalog cards has given the main entry a new significance: it has become also the "unit" card—that is, copies of the main entry are overtyped with the title of the book, the name of the series, the subject headings assigned to the book, the name of the editor or translator, etc., and are used as title, series, subject, and other added entries. Thus, when the main or unit entry is made under the author's name, the entries under a given title, series, subject heading, editor, translator, etc., will automatically be subarranged in the catalog first by the name of the author and then by the title of the book. Obviously, this is a more logical and useful arrangement than the one that would result from entering all works under their titles, in which case the entries under the various added headings would automatically be subarranged by the titles of the books. Cutter's "two great principles," therefore, remain as valid as they have always been.

Variant conditions and principles.—Proceeding from these two basic principles, we shall encounter variant conditions requiring the provision of additional principles. These principles should similarly be aimed at the objectives adopted above and at the desired arrange-

ment of the entries in the catalog which will follow our choice of the main entry.

The variant conditions result from the fact that some works have more than one author, some authors have more than one name, some works have more than one title, and some works depend for their interest on other works and have no interest of their own. The works of corporate authors present still other variants peculiar to them.

Works having more than one author may present the following conditions: (1) The work is one prepared by an author with the aid of collaborators or contributors; it is reasonable to assume that the work will be associated with and cited under the name of the author chiefly responsible for it, and the work should therefore be entered under his name, with possible added entries for the collaborators or contributors. (2) The work is one composed by an editor or compiler from the writings of other people; it seems reasonable to enter this work under the editor or compiler who is associated with the preparation of the work as a whole. There is one important qualification that might be observed in this case; if this work is one issued periodically in successive editions by an interested body and is bound to have different compilers or editors (*e. g.,* an encyclopedia), the purposes discussed before, and particularly the objective of bringing the editions of the work together, will better be served if this work is entered under its title. (3) The work is one by several authors with no one author more responsible for it than any of the others; in this case the several authors should be treated equally and the purposes of the catalog will best be served if the work is entered under its title, with added entries for the several authors. This course may, in some cases, involve a departure from our time-honored tradition of entering some of these works under the first author mentioned on the title page; but when the result is considered, it will be found that the course proposed here is not only more logical but also more practical. In fact, it will eliminate both a cataloging problem and a filing problem resulting from the entry of such works under the first author. The cataloging problem results from the fact that the order of the names of the several authors may vary in the several volumes or the several editions of the work. This has required special rules providing for entry under the author given first in the first volume of the first edition; but the

cataloger may not have the first volume or the first edition. The filing problem results from our use of the main entry as the unit entry. As a consequence, the name of each of the other authors is followed on the catalog entry not by the title of the book but by the name of the first author under whom the main or unit entry is made. Some libraries ignore the main author heading in filing, which is an element of confusion to the users of the catalog; other libraries line out the main author heading, which is an extra annoying task. The proposed course eliminates both the cataloging and filing problems. Furthermore, we shall note below under (5) that we have actually followed this principle sometimes for a work prepared jointly by several corporate bodies. There is one objection that might be raised, that some of these works may have very common titles which are useless in themselves as title entries in the catalog. But this objection could easily be met, if desired, by tracing at the end of the entry "x Title" to indicate that the unit entry was not to be used without added headings in the catalog. Of course, it could be used, as is, in the shelflist. (4) The work is one in which the writer reports the communication of another person; if the person in whose name the communication is made is not a fictitious or imaginary but a real person, he is clearly more closely associated with the work than the person who wrote it, and the work should be entered under the name of that person, with an added entry under the name of the writer. (5) Similarly, if the work is the report of a person made in the name of a certain body or organization, not as a personal statement, that statement is associated more closely with the name of the body whose authority it carries and should be entered under the name of that body with an added entry under the person who made the statement. This principle now underlies some of our rules (for example, the entry of laws or treaties under the name of the country responsible for them and not under the name of the person who wrote or compiled the laws or the treaties), but it has not been followed as a principle. Thus we may find that of the three editions of the A. L. A. cataloging rules (*A. L. A. rules*—Advance ed., 1902; *A. L. A. catalog rules* . . . Prelim. Am. 2d ed., 1941; *A. L. A. cataloging rules* . . . 2d ed., 1949) which are ascribed in the title to the A. L. A. and carry the authority of that body, only the first is entered under the A. L. A., under which all these three editions are most likely to be looked for,

and the other two editions are entered respectively under the A. L. A. Catalog Code Revision Committee and the A. L. A. Division of Cataloging and Classification. The *Catalog Rules* of 1908, being a joint product of the A. L. A. and the British Library Association, is appropriately entered under the title with added entries for each of the two associations. This is in accordance with the principle suggested above under (3), but is inconsistent with our practice of entering a work by joint authors under the first author mentioned on the title page. Under the principle advocated here, all editions of the A. L. A. rules, regardless of the person or body who prepared it, would be entered under the A. L. A. when adopted by it and issued as its authorized rules.

Authors having more than one name may present the following conditions: (1) The author has changed his or her name in consequence of marriage, adoption of new citizenship, joining a religious order, or for any other reason; since his subsequent works and the subsequent editions of his works are bound to be issued and called for under the latest name used by him, all his works should be entered under that name if used by him in his books. (2) The author writes under an assumed name different from his real name, or under his title of nobility, or under part of his name; since books are generally cited and identified by their title pages, it is reasonable to assume that readers will generally look for the books under the name used by the author, and his works should therefore be so entered. It is possible, of course, that in the future he will be better known by his real name and his works might then be issued under his real name; but to enter his works now, for this reason, under his real name would be to sacrifice a certainty for a possibility and the present for the future. The principle proposed here assumes that the catalog is designed primarily for its present users and that, in any event it could no more be made immune to change than is the institution of which it is a part. (3) The author writes under his real name but also uses a pseudonym in a special literary genre; it is suggested that in this case his works should be entered under the names appearing in them, and that an information card should be made to inform the users of the catalog of this fact. (4) If, however, the author is indiscriminate in the use of pseudonyms, or has discontinued the use of his pseudonym, all his works should be entered under his real name. (5) Authors whose names appear in

translation in varying forms should be entered under their vernacular names to bring their original works and translations together; however, well-known foreign authors whose works are generally read in translation and seldom in the original should be entered under the name which appears in the translations (*e. g.,* Rabindranath Tagore).

Works having more than one title may present the following conditions: (1) The title differs in the several volumes of a work. In the case of a monographic work in several volumes, the first volume is generally regarded as the beginning of the book and the work is commonly cited by the title of the first volume and should therefore be so entered, with an added entry under the other title; in the case of a periodical or serial which appears over a long period of time and is subject to various changes of title, it is not to be expected that a writer citing a given volume will inquire what the original title was, or what the relation of the given title is to any other title, and the purposes of the catalog will therefore better be served if each title is entered separately and provided with notes indicating its relation to any other titles. (2) The title of the work differs in the various editions. If the work is one which is generally known by a given title, as in the case of a folk tale, it should be entered under that title; this will facilitate the location of the work for the reader and will bring the various editions together. The principle applies to anonymous works as well as to those entered under an author. It has been applied for the same reasons to certain publications of countries and cities issued in numerous editions (*e. g.,* U. S. *Constitution*), and informally also to works of classical authors in the form of "filing titles." The use of English titles such as *Constitution* under foreign countries might be questioned, and it is interesting to note that rule 68 of the *Catalog Rules* of 1908 which provides for the entry of constitutions has the footnote "Library of Congress gives subheading in the vernacular, *e. g.,* Switzerland. *Bundesverfassung.*" It might be justified, however, by the assumption that certain works by other countries are best known to the English-speaking user of the catalog by the titles of their English equivalents. (3) The work is known in various countries under different titles, as in the case of anonymous classics. Such works should be entered under the English titles under which they are best known to the English-speaking reader, regardless of the language of the work. (4) The work has

no title of its own, as in the case of a manuscript, but has a designation assigned to it by the library which owns it. In the absence of any other title or name by which this work may be known and referred to, it should be entered under the name of the library, collection, and designation of the work.

Dependent works are those written not for their own sake, but to accompany other works upon which they depend for their interest. Such are indexes, glossaries, supplements, appendices, cadenzas, librettos, etc. These should be entered under the authors and titles under which the works to which they belong are entered, followed by an appropriate designation, so that their entries will follow in the catalog the entries of the other works. Some of these publications may also have an interest and value of their own. In this case they should be entered as independent works with added entries as dependent works.

Works of corporate bodies differ from other works in several important respects requiring special consideration:

(1) The reports and statements of a corporate body are usually prepared by one of its officers, or by another person engaged to prepare the statement for it, or by one of its subdivisions assigned to prepare the statement. This circumstance raises a question whether such a report or statement should be entered under the name of the person or unit who prepared the report or under the name of the body for whom it was prepared. This condition has already been considered. The principle proposed is to enter under the name of the corporate body publications issued in its name—that is, communications purporting to be those of the corporate body and bearing the authority of that body. Other publications should be entered under the person or unit who prepared the work. The present study presents an illustration. It was prepared by an officer of the Library of Congress, mostly on official time, and on behalf of the Board on Cataloging Policy and Research; but it is not presented as a report of the Library or of the Board, and should therefore not be entered as such. The association of the Library and the Board with this study, however, warrants added entries under their names. If the same report had been presented as an official expression of the views of the Library or the Board, the order of the main and added entries would have to be reversed. This principle, as already indicated before, is analogous to the principle that a

work written by one person for another person who is purported to be responsible for it is to be entered under the one responsible, with an added entry under the one who wrote it.

(2) The name of a corporate body presents conditions which have complicated our rules more than any other factor. There is first the question arising when the name appearing on its publications differs from its official name. This is quite similar to the condition found in the works of a personal author where his name may appear in a form other than his full or real name, and it would be consistent with the preceding proposals to enter a corporate body similarly under the name appearing on its publications. If the body uses several forms of name concurrently, the shortest and most distinctive name should be chosen for entry, with references from the other forms. The most difficult problem results from the fact that many corporate bodies have no proper identifying names of their own but only generic names describing their type and common to most bodies of that type. These bodies must be identified by the appropriate name of the locality to which they belong (as city, county, state) to distinguish them from those serving or belonging to other localities, or by the name of another body with which they may be affiliated, as in the case of most city, county, state, and institutional libraries, museums, hospitals, etc. Many of these may include the place at the beginning of the name, as Los Angeles Public Library, some at the end of the name, as Public Library of Newark, N. J., and all may be referred to with the place at the beginning or at the end of the name, or without the place when it is understood in the context. This condition and the problem and considerations involved have been discussed at some length in the preceding part of this report, and the principle proposed is that bodies having a generic name which is common to many other bodies of the same type in various cities, counties, states, etc., or affiliated with other bodies, should be entered under the name of the city, county, state, etc., required for their identification, or under the name of the body with which it is affiliated. Admittedly this principle lacks a sharp criterion which would help one to determine readily in all cases whether a given name is common to many bodies of the same type and that in the absence of such a criterion the decision would in many cases have to be arbitrary. It is suggested, however, that these arbitrary decisions would be less harmful to the

integrity of our cataloging principles than arbitrary rules, which seem to be the only available alternative, and that the decisions could be recorded and published, if desired, to secure uniformity in cooperative cataloging. The entry of a corporate body under its vernacular name when it is given in translation in the publication and the entry of an international body under its English name would follow logically from the principles proposed above.

(3) The life of a corporate body may be considerably longer than that of a personal author and it is always subject to various organizational and constitutional changes. These changes are normally reflected in changes in its name. The question arises, therefore, whether a body whose name has been changed should be regarded, for purposes of entry, as the same body or as a different body. The principle proposed here is made in the light of the following considerations: (a) A change in the name of a corporate body may reflect an organizational or constitutional change and has therefore a different significance from the change of a personal name; (b) the works of a corporate body are normally cited and looked for under the names under which they were issued; (c) the entry of the works under the name of the organization at the time of their publication would segregate and keep together in the catalog the works issued by that body during each significant period of its existence and development, whereas the entry of all publications under the latest name would interfile these works alphabetically by their titles; (d) the entry of all works under the latest name of the body would entail the changing of all entries whenever the name of the body is changed. For all these reasons, the principle proposed in this case is to regard a change of name of a corporate body as the end of one body and the beginning of another, excepting slight changes of name and changes of short duration where the effect of the foregoing considerations would be slight. To distinguish, for purposes of entry, between a change of name which is merely a change of name and that which is the result of an organizational or constitutional change is an attractive alternative, but it is not believed to be a practical one. The case for the proposed principle was stated some time ago by one of our most imaginative catalogers, Currier of Harvard:

> It may be argued that we should, in treating corporate bodies, follow the analogy of persons who change their names. . . . A person cannot change his identity, even though he changes his name, but, with corporate bodies,

change of name frequently means change of functions, and often practical change of identity. Moreover, corporate bodies are likely to exist for indefinite periods, thus entries for their publications accumulate in our catalogs indefinitely, making a change of name a more serious matter [and, one might add, the identification and location of a particular title, especially when inaccurately cited, progressively more difficult] . . . When the change of name of a body is very slight, it is frequently advisable to adopt the briefer form and enter all publications under this . . .[3]

(4) Another condition which complicates the entry of a corporate body is the fact that it is not monopersonal in character, but may act or speak as the whole body or as one of its branches, divisions, offices, committees, etc. This raises the question whether a report by a division of a given body should be entered under the name of the body as a whole or under the name of the division; and if under the name of the division, whether the division should be entered in the catalog directly under its own name or indirectly as a subheading under the name of the body. The reasons favoring entry of all works under the name of the corporate body whether prepared by the body as a whole or by any of its divisions are, first, that it would eliminate automatically the troublesome question of how the name of the division should be entered; and second, that it would prevent the dispersal of editions of the same work resulting from the fact that corporate bodies are subject to internal organizational changes and the functions carried on by a given unit may be reassigned to another unit. There is also the fact that works of subdivisions of corporate bodies are sometimes cited and looked for under the name of the body without a subdivision, particularly in the case of minor units. These are important considerations. On the other hand, the entry of all works under the name of the body as a whole would result in a growing congestion of titles under that name, particularly in the case of major bodies, and would make the identification and location of a given title in the catalog much more difficult. One need not invoke the situation that would be created in the catalog if all subdivisions under United States were dropped and all entries were refiled alphabetically by their titles to convey the significance of this point; it is obvious that a work described as having been prepared "by the A. L. A. Division of Cataloging and Classification"

[3] "Change of Name of Corporate Bodies," *Library Journal* 35:204–5, May 1910.

will much more readily be found in the catalog under the name of the Division than it would be under the name of the American Library Association. This is particularly true when the title is inaccurately or incompletely cited; in such cases, the entry of all publications under the name of the whole body would make the location of the title sought extremely difficult and time-consuming. Another major consideration is the fact that the subdivision of a corporate body has an individuality and interest of its own apart from that of its parent organization. For example, the A. L. A. Division of Cataloging and Classification, or the cataloging divisions of the Library of Congress, have for many readers of this report a special interest which does not attach to A. L. A. or L. C. and which would be dissipated if their publications were entered under the A. L. A. and the Library of Congress. Of course, the Library of Congress itself might in that event be regarded as a subdivision of the United States and its works might then be entered not under the Library of Congress but under United States. In other words, the very reasons which underlie the principle of corporate entry apply equally to the subdivisions of a corporate body, excepting minor subdivisions which have no individuality and interest of their own. This is particularly true in the case of subdivisions which have distinctive names and do not reflect in their names a relation to any other body, as the Association of College and Reference Libraries.

This brings us to the next question: If the publications of a subdivision are to be entered under the subdivision, should the subdivision be entered directly under the first word of its name, or indirectly as a subheading under the name of the whole body? This question is analogous to the general question relating to the form of name under which a corporate body should be entered which has been discussed before. The principle proposed here is that if the subdivision has a proper and self-sufficient name of its own, as the Association of College and Reference Libraries, it should be entered directly under its own name, with a reference from this name as a subdivision under the A. L. A. It is reasonable to expect that this will facilitate the location of the publications of this subdivision which are found most frequently to be cited and looked for directly under its own name; and it will also prevent the congestion of entries under the name of the parent body. This principle is in essence similar to the principle originally advocated by James B.

Childs [4] to whom we owe the important provision that "Certain classes of institutions and other bodies created, maintained, controlled or owned by governments, but not direct agencies of government are . . . to be treated according to the rules governing these bodies . . ." and not as subdivisions under their governments. It is of greater importance under the names of government bodies where the accumulation of entries is greater, but there is no apparent reason why it should not apply to all types of subdivisions of corporate bodies when the subdivisions have proper names of their own. If a subdivision has a generic or common name, as discussed before, or a name implying that the body is part of another body, as the Division of Cataloging and Classification, or a name which in itself is otherwise ambiguous or insufficient, it should be entered under the name of the parent body as a subdivision.

(5) Finally, some people may join and act collectively without formally organizing into a body and without assuming an identifying name. Our rules provide that the publications of many unnamed bodies should be entered under the name of the place with a subheading describing the class of people, such as *Albany. Citizens, Baltimore. Merchants, Geneva. American residents, London. Women,* etc. Under the heading *London. Women* there is entered a publication entitled "A true copie of the petition of the gentlewomen, and tradesmens-wives, in and about the City of London . . ." Under the heading *Geneva. American residents* there is entered a publication entitled "Celebration of the ninetieth anniversary of American independance [!] in Geneva (Suisse) July 4th 1866 . . ." It may be questioned whether those interested in the last two titles would ever think of looking for them under such headings. To refer once more to that unfailing source with which this study began, when Panizzi defended his rule providing for the entry of an anonymous work under the first word of the title rather than under the most prominent word of the title as demanded by some of the witnesses, he demonstrated strikingly that the cataloger could not assume that users of the catalog would always think of the same word as the most prominent word in the title and observed "a cataloguer

[4] *Author Entry for Government Publications,* Washington, 1939; originally included in *Public Documents; their selection, distribution, cataloging, reproduction and preservation,* papers presented at the 1934 conference of the American Library Association. Chicago, 1935.

does not make titles to suit his convenience; a cataloguer takes the titles as he finds them . . ." It would seem that the same principle applies in the case of publications of unnamed groups of people. If a "memorial of the merchants & traders of the city of Baltimore" is to be entered under the heading *Baltimore. Merchants,* the reader would be entitled to look under *U. S. Modern poets* for anthologies of modern American poetry and under *California. Artists* for collections of the works of California artists. Under the rules for Courts one may find the provision "Enter reports of three or more courts published together with collective title under the name of country, state, etc., with the subheading *Courts.* Make added entry for each court . . ." Thus the "Reports of cases adjudged in the courts of Common Pleas, Quarter Sessions . . . of Pennsylvania . . ." are entered under "Pennsylvania. *Courts.*" Here the cataloger has gone further and has actually created a collective of corporate bodies where none existed. He has also thus separated the reports of these courts from the works about the courts which are entered under *Courts—Pennsylvania.* The principle proposed here might be a paraphrase of Panizzi's above statement: A cataloger does not make corporate bodies, nor name unnamed bodies, to suit his convenience; a cataloger takes the corporate bodies, or the names of corporate bodies, as he finds them.

To sum up briefly, the complications attending the entry of corporate bodies are due to the fact that their publications are usually prepared by various agents, that they often have no proper self-sufficient names by which they can readily be identified, that they are subject to various transmutations, that they are productive of other bodies which assume individual characteristics and functions, and that they are sometimes vague in their existence. Some libraries avoid all these complications by treating the publications of corporate bodies as anonymous publications and entering them individually without attempting to relate them to other publications of the same bodies. These libraries sacrifice the interests of those readers who are concerned with the works of a certain body because of the special subject field cultivated by that body or any other interest which attaches to its works or activities, or because the body itself is the subject of their study, or because they want certain unspecified works of a given body which they would readily recognize if listed under that body but could not name. This sacrifice in serv-

ice is difficult to assess and even more difficult to equate with the return of savings in cataloging costs. But if the service is to be rendered, some principles must be adopted to fix the course of the rules for the entry of corporate bodies and to guide the cataloger in the application of the rules. The principles desired may not always admit of easy or sharp criteria; but it must be remembered that the criteria are an instrument to facilitate the application of the principles, not a substitute for them. To abandon salutary principles because of the difficulty of defining sharp criteria is to jettison one's compass in the wilderness because of the obstacles encountered on the indicated course.

IV

Q's & A's

AN EARLIER draft of the foregoing three parts was originally prepared and submitted to the Board on Cataloging Policy and Research as a Preliminary Report to acquaint it with the progress of this study. The Preliminary Report was circulated to the members and consultants of the Board and also to some catalogers in the field for study and comment. The replies included a number of questions which undoubtedly will arise in the minds of other readers of the report. Some of these questions have already been considered in the course of the foregoing discussion. The more important and general questions will here be considered:

Cost of change.—The first question that will occur to many readers is whether adoption of the principles proposed in this report would not entail very costly changes in our catalogs which few libraries could afford. Thus one correspondent comments: "It is difficult to bring the practices of so many years into a logical scheme although I applaud every effort made in that direction. . . . I believe there is much to be said for entry of societies and institutions under their names in all cases. I have always felt that whenever possible this is the direction to take in future rules. The practical difficulties, however, in changing over to such a rule are so great as to make it out of the question, I fear."

This fear is unwarranted. It is obviously based on the assumption that adoption of the principles would require changing of all entries in the catalog in accordance with these principles; but this is an unnecessary assumption. It should be remembered that the proposed principles are not alien to our catalog and do not introduce new patterns or forms of entry. These principles underlie many of our present entries, but have not been consistently followed. Adoption of the proposed principles, therefore, would not introduce new inconsistencies with our present entries, but, on the contrary, would

arrest the growth of the existing complexities and inconsistencies discussed in the first two parts of the report. Thus the old headings could be left unchanged, unless it be deemed desirable from time to time to change particular headings on their own demerits, and the proposed principles could be applied thereafter in establishing new headings. Instead of costly changes, the prospects are that adoption of the proposed principles would bring about a reduction in cataloging costs by the elimination of unnecessary complexities and inconsistencies from our rules and by discarding the undesirable requirement that corporate bodies should be entered under their latest official names instead of under the names currently used by them in their publications.

What price the "Main" entry?—Another important question raised by one of the correspondents is that of the "main" entry. It has incidentally been touched upon in the previous part of the report, but it deserves special attention. This correspondent writes: "A fair proportion of the confusion and discussion about entry revolves around the choice of author when several possibilities are at hand—for example, a personal and a corporate author. We need to remember, I think, that 'choice of author' in this context means choice of *main* entry, and that in practice several entries may be made. I submit that as far as the function of the catalog and its usefulness to the reader are concerned, it may make very little difference, perhaps none at all, which name is chosen as the main entry and which as an added entry. I wonder sometimes to what extent the whole business of main and added entry is merely a mechanical contrivance of the cataloger—a way of keeping his records straight and of maintaining control over his own work. . . . What is really the purpose and significance of the *main* entry as such to both the cataloger and the reader? Does it make such a difference to either which entry is chosen as the main entry, as long as the important alternative entries are also made? If less sanctity were attached to the main entry, what effects would be noticeable in the processes of making and using the catalog?"

This question has occurred to many catalogers, and it is particularly interesting to note that even such a staunch defender of our cataloging traditions as Miss Mudge has questioned seriously the tradition of the *main* entry. In her well known defense of traditional cataloging practices against some proposed economies which

she felt would impair the usefulness of the catalog to the reference department, she herself goes on to point out certain measures which she thought would be productive of economies and would not affect the reference service. In that connection she cites as an example the case of three bibliographies for which cooperative printed cards were available but which had apparently been entered differently by the several cooperating libraries, and observes: "The cataloger, with a natural pride in accurate craftsmanship, might be inclined to utilize only one set of cards, and to remake the others, in spite of the cost, to conform with the one accepted. The reference point of view, in such cases, is that, *provided all needed entries are taken care of by the liberal use of a unit card,* it does not make any difference in the service given by the catalog that one of the three books is entered under author, one under title, and one under official body, and that the economy of using all printed cards available is more important than consistency in choice of main entry." [1] But if the choice of the main entry is of such slight importance, the economy involved is far greater than "the economy of using all printed cards available," for omission of the rules relating to the choice of entry would simplify considerably our cataloging rules and, thereby, also our cataloging practice. What, then, are the reasons for the *main* entry?

It should be recalled, first, that originally the *main* entry was meant to be the most important entry for a given work. It reflected a recognition that of the several ways in which a work could be entered, one of the entries was of relatively greater importance than the other. The *main* entry was the one indispensable entry and was to be given in full, whereas the others were auxiliary entries and could be abbreviated or entirely omitted. Faced with the simplest book which had an author and title, the cataloger was confronted with the question whether it should be entered under the author, the title, or both, and whether the author and title entries were of equal importance if considerations of economy in the preparation or printing of the catalog made it desirable to abbreviate or omit the less important entries. One should be reminded that these considerations still obtain even in our card catalogs where the use of printed catalog

[1] "Present Day Economies in Cataloging," *Catalogers' and Classifiers' Yearbook,* no. 4, 1934, p. 15.

cards has made possible "the liberal use of a unit card," but the luxuriant growth of which has demonstrated that the multiplication of entries is not an unqualified blessing. They still obtain in our card catalogs where the contents of a serial is kept up only on the main entry and the other entries are stamped "for contents see main entry." They obtain, to a larger extent, in our printed catalogs—for example, in the *Library of Congress Catalog*—where considerations of economy in the cost of production continue to impose restrictions on the entries to be included, and, to the largest extent, in our union catalogs which are generally limited to *main* entries. We must therefore determine at the outset which are the *main* entries that should be included in all these catalogs, and which are the auxiliary entries that might be abbreviated or omitted where necessary.

Second, as indicated in the foregoing part, the choice of the main entry will affect the character of the catalog, for in our use of the unit card the main entry appears under all the added headings—editor, translator, subject, title. Thus, while it is true that each of the three bibliographies cited by Miss Mudge would be found under the author, title, and corporate body regardless of which were selected as main and which as added entries, only the name or heading chosen as the main entry would appear under the added headings. If these three bibliographies were three editions of the same work, or three works of the same author, then these works or editions would not stand together under the added headings, but would be separated under author, title, and corporate body, and would appear as different works by different authors. In other words, the main entry provides that the works of an author and the editions of a work will stand together in the catalog not only under the name of the author but also under the added entries—editor, translator, subject, title, and series. This type of organization of the catalog is more satisfactory to its users and makes possible such features as the listing of all editions of a given work under the main entry and only the latest or best edition under the subject, title, and other added entries. The added entries are then stamped with a statement referring the reader to the main entry for a complete listing of all editions of the work in the library. This reduces the growth of the catalog and facilitates its maintenance.

For these reasons it is felt that the main entry remains a useful feature in cataloging.

The *"Principle of Authorship" and "Form Headings."*—Another correspondent suggests that the report overemphasizes the principle of authorship and does not give recognition to the principle of form headings, and comments: "I do not think either in theory or in practice that our catalog entries are based on the principle of authorship, though that principle comes in to a large extent. There are numerous cases, most particularly in the field of government documents, in which we prefer the name of an issuing body, or a form heading, or something else . . . Authorship is a factor, and a very important factor, indeed, in our selection of the catalog heading, but it is not decisive in all cases, nor is it even called into play in numerous instances."

The present report deliberately omits mention of both the "principle of authorship" and "form headings"; it concerns itself with the objectives of cataloging and the methods by which these objectives could best be achieved. In this context, cataloging principles are basic directives whereby the objectives of cataloging can best be served, considering both the efficiency of the catalog and the economy of cataloging. The objectives are determined by the staff and reader requirements which the library undertakes to serve; the principles, or directives, indicate how these objectives are to be served under varying bibliographical circumstances. Since the author and title of a book are its most elemental attributes, the entry of a work under its author or, in the absence of the author, under its title is a fundamental way of meeting the objectives of the catalog. However, it is not always obvious who should be regarded as the author when more than one individual is involved, or under what name the author should be entered when he has used or is known under more than one name, or which should be regarded as the title of a work when it has been issued under more than one title or under varying titles. Hence the need of directives to indicate how such conditions should be treated. There is, thus, no need for the recognition of any "principle of authorship" any more than there is for any "principle of titleship" if such a term could be coined. Nor is there any need for the recognition of "form headings" to explain the use of conventional titles, which are based on the titles of the

works and are not inventions of the cataloger, in the entry of works issued under different or varying titles, such as the Bible, anonymous classics, the works of classical authors, the constitutions of a country, collections of laws, etc. If, therefore, the objectives set forth are valid, the principles suggested in this report must be evaluated in terms of their effectiveness in meeting the objectives or in terms of their cost, but not in terms of any "principle of authorship" or of "form headings."

Principles and rules.—One of the correspondents appears to be skeptical and somewhat impatient about theory and principles. Commenting on the principles suggested in this report this correspondent says: "They are logical; they are not contrary to present practice (at least part of it); they have merit. But they are only guide-posts. We must fill in the spaces between before we *know* if they are unassailable. . . . We cannot tell until we take *all* the available evidence, examples, exceptions, rules, and practice, and test his principles against them."

The principal purpose of this study was to determine what, if anything, is wrong in our present code, which the same correspondent describes in the same communication as "one of maze-like construction and contradictions," and to indicate how it might be reconstructed. This study shows that our code is vague in design and weak in structure; it therefore proceeds to outline the objectives and principles of cataloging which provide a general design and framework for a revised code. To say that the proposed design cannot be evaluated until *all* detailed "examples, exceptions, rules, and practice" have been outlined is to deny the value of a basic plan in cataloging and to enter into a vicious circle, for it is not possible to outline a complete code of rules which are "practical, logical, consistent"—as this correspondent demands—without a definition of the objectives which are the criteria of the practicality of the rules, or a discussion of the considerations involved which would lend them logical validity, or a formulation of basic principles which would provide for consistency. To say that these "are only guide-posts" is to fail to recognize that that is exactly what is missing in our present code, that it is the absence of such guide-posts that gave rise to the multiplicity, complexity, and inconsistency of our rules, that one cannot undertake to outline a code of rules without directive

principles any more than one could undertake to chart a map without a compass indicating the cardinal points. Nor can one approach and apply intelligently a code of rules, however well constructed, without a knowledge of its underlying principles any more than one can orient himself on a map and use it, however good the map is, without a knowledge of its cardinal directions. Nor is there any apparent reason why any set of principles designed to realize assumed objectives could not be evaluated on their own merits, it being understood that the principles serve as a foundation for a code of rules, not as a substitute for them. When the principles have been approved, our present rules should be reconsidered and rewritten in accordance with the objectives and principles adopted, and reorganized in accordance with the pattern suggested in the discussion of our present rules.

Cost of cataloging.—One correspondent recalls that one of the major causes of the demand for a revision of our cataloging rules is the high cost of cataloging; he inquires, therefore, whether the proposed principles would benefit the economy of cataloging.

The answer is that a code of rules based on the proposed principles is bound to be much simpler in structure and easier to comprehend and apply, and cataloging is therefore bound to be not only more rational but also less costly. It should be pointed out, however, that economy in cataloging is more a matter of cataloging policy than of cataloging rules, and that any set of cataloging rules could be applied more or less economically, as may be desired or necessary, at a corresponding sacrifice in the quality or standards of cataloging. Thus the Library of Congress has in recent years, under the stress of economic pressures, adopted policies which informally and in different variations have always been applied in many other libraries. One such policy is to limit generally the cataloging data of certain types of works to the data found in the books themselves; this is the policy known as "Limited Cataloging." It replaces another policy formerly known as "Brief Cataloging," under which certain cataloging data were always to be omitted for some works. "Limited Cataloging" is a more enlightened policy under which no desirable cataloging information is omitted for any book if that information is readily found in the book cataloged, but the costly search for cataloging information in other sources is limited for certain categories of

books as a measure of cataloging economy. Another policy of a similar character is that which limits the searching for information about the identity of an author to those cases where it is necessary to distinguish a given name from other names already in the catalog, or where there is a conflict of names; this is the "No-Conflict" policy.[2] Both these policies have been applied to our present rules as regulatory provisions, not as changes of the rules. To apply the "No-Conflict" policy is not to say that the works of an author will not be entered under one form of name; it is to say only that we should go so far and no further in our effort to establish the identity of a person to insure that his works will be entered under one form of name, and should assume the limitation on this objective as a measure dictated by economic exigencies. Similar policies may be applied to any other cataloging rules. But it should be recognized that the rules alone cannot achieve very substantial economies without a sacrifice of our cataloging aims, which, in the last analysis, are what we contract for in our rules and pay for in our cost of cataloging.

International considerations.—When the revision of the 1908 rules was contemplated twenty years ago, it was immediately perceived as an opportunity to reexamine them in the light of the rules of other libraries and to make them more acceptable internationally. J. C. M. Hanson ranked this consideration first. Speaking before the Catalog Section at the New Orleans Conference in April 1932, he said: "It is natural that the first concern of the committee [on the revision of the code] will be the possible relation of the new revision to similar plans on the part of our British colleagues. . . . Besides, both [the American and the British library] associations will presumably, in their revisions, aim toward further agreement with the rules and practices of libraries in other than English speaking countries." [3] There is also probably more than pure coincidence in the fact that shortly after that time Hanson sat down to work on his *Comparative Study of Cataloging Rules Based on the Anglo-American Code of 1908,* which appeared in 1939, although there is

[2] *Cf.* "Memoranda on Policy and Procedure" in *Rules for Descriptive Cataloging in the Library of Congress, Supplement 1949–51,* Washington, The Library of Congress, 1952, p. 11–19.

[3] "Revision of A. L. A. Catalog Rules," *Catalogers' and Classifiers' Yearbook* no. 3, 1932, p. 7–8.

no indication in the work of any connection between these two events. That revision, unfortunatley, was later abandoned and replaced by an expansion of the rules, and with it the international objective of the rules was also abandoned. Now that international cooperation is more important than ever before, one might inquire: What contribution does the present proposal make to international understanding in this field?

The answer is, a very positive one. First, the criticisms of the rules made in this report have been shared widely by leading catalogers abroad. Under the circumstances, the prospect that our present rules would be adopted by others could hardly be a promising one. To the extent, therefore, that the present proposal promises to improve our cataloging rules logically and practically, it will also improve the prospect of making them more acceptable internationally. To produce a code of rules which are valid logically and practically is to make the greatest possible contribution to international cataloging, although there will always be room for differences of opinion and compromises on details. Second, though the present proposal was not evolved or designed as a compromise with other codes, it removes the two most important obstacles to a greater agreement. The proposed replacement of our many detailed rules by basic principles and general rules will undoubtedly please our British colleagues who are now engaged in a similar pursuit. The "Inquiry Into Cataloging Principles and Practice" recently announced by the University College London School of Librarianship and Archives reflects a quest for cataloging principles. And the principles suggested for the revision of our corporate rules, by avoiding the distinction between "societies," "institutions," and "miscellaneous bodies," will remove the strongest criticism of our colleagues in Europe, Asia, and South America. For leading catalogers in all these countries, who follow us in the use of the principle of corporate authorship, shy away from our distinction between "societies" and "institutions," which they assail as irrational and impractical. These criticisms have recently been voiced by Sigmund von Frauendorfer, director of the Library at the Hochschule für Bodenkultur, Vienna, who urged upon his German colleagues the adoption of the principle of corporate authorship but concurred with the criticism of "the complexity and diversity of the rules for

corporate authorship" and "the artificial and impractical dividing line between institutions and societies";[4] J. Frédéric Finó, professor of bibliology at the Museo Social Argentino in Buenos Aires, who, as already mentioned earlier in the report, presented a trenchant analysis of the reasons for the separation of "societies" from "institutions" and demonstrated the lack of a valid basis for such separation;[5] and S. R. Ranganathan who, ten years earlier, reached a similar conclusion, as also noted before in the report.[6] The same is true of the Russians and their Slavic followers, who adopted many of our principles and rules, including the principle of corporate authorship, but stopped short of our distinction between "societies" and "institutions." The principles proposed in this report for the treatment of works by corporate bodies would, therefore, bring us into greater harmony with those who follow the principle of corporate authorship, and make our rules more widely acceptable.

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[4] "International Unification of Cataloging?" *College and Research Libraries* 12:245–52, July 1951; translated from an article in *Die Österreichische Nationalbibliothek,* a "Festschrift" in honor of Dr. Joseph Bick published in Vienna in 1948.

[5] *Cf.* footnote 11, p. 32.

[6] *Cf.* footnote 8, p. 27.

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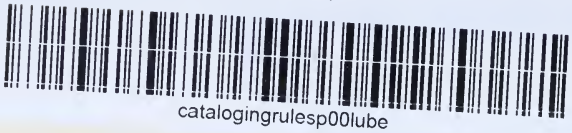

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